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ABSTRACT

This technical processing manual for federal documents is the culmination of efforts begun in 1981 to revise and implement procedures by the staff of the Government Documents Department of the University Library at the University of Massachusetts at Amherst. While most of the general procedures in the manual are probably basic to most document depositories, the specific manner in which they are carried out may be applicable only to the setting at the University of Massachusetts. The manual is divided into 15 main sections dealing with all aspects of technical processing including cataloging rules; catalog card filing rules; binding government documents; and processing procedures for specific types of documents such as serials, microfiche, maps, oversized documents, and multivolume sets. These sections are followed by four addenda dealing with public service related procedures: (1) circulation overdues and billing, (2) government documents reserve shelf, (3) interlibrary loan requests, and (4) search procedures. (DMC)

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GOVERMENT DOCUMENTS

TECHNICAL PROCESSING

MANUAL

BY

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University Library
University of Massachusetts
Amherst, Mass.

1st ed.

January 1984

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Preface

This technical processing manual for federal documents is both the culmination of sporadic but determined effort beginning in January of 1981 and an evolving process of revision of established procedures and implementation of new ones. The staff of the Government Documents Dept. has found this manual indispensable to the efficient running of the unit not only as a written record of what and how activities are transpired in the technical processing area, but also as a learning tool for new staff members and student assistants.

The Government Documents Department of the University of Massachusetts at Amherst is a selective depository, selecting approximately 90% of GPO materials. The department consists of 2 librarians, 3 documents assistants and 5 part-time student assistants. The only characteristics of the department which may be unique in relation to other documents departments are its utilization of the University computer to produce its own catalog records and the Library's computerized billing system in the distribution of bills to delinquent patrons.

While most of the general procedures in the manual are probably basic to most documents depositories, the specific manner in which they are carried out may be applicable only to the setting at the University of Massachusetts at Amherst. In spite of any idiosyncracies it is hoped that this manual will be useful to others who may be developing written procedures for the first time or attempting to improve upon already established procedures.

All typographical errors, grammatical lapses, inconsistancies in terminology, lack of examples and other faults are the responsibility of the author, who in the excitement of attempting to upgrade this document from an in-house instructional and historical tool to a formal example of a technical processing manual, may have let haste make some waste in addition to expecting too much from potential readers.

However, if by sharing this manual we are able to help anyone in any way then we will have succeeded in our efforts to have it published. If any librarian feels compelled to communicate with us concerning our manual, we are always open to criticism which may help us to improve upon future editions of the manual.

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SECTION 1

INITIAL PROCESSING OF DOCUMENTS FROM GPO

I. General Information

A. Boxes of government documents material arrive irregularly from GPO. Each box includes any number of government documents and may include a shipping list which is an inventory of everything that should be in the box (for examples of shipping lists, see pg. 4-6).

B. Boxes, for which a shipping list has not been included, have the shipping list number printed on the address label of the box.

1. Shipping lists for these documents will have been or will be sent in other boxes.

a. When the shipping list is received it will have a note at the top:

THIS SHIPMENT IS BEING MAILED IN ___SEPARATE PACKAGES.

b. If a shipping list has not been received, the document is put on a holding shelf with the shipping list number listed on the shelf for identification when the appropriate list arrives.

II. Processing Newly Received Documents

A. Check in shipping lists on Kardex as they arrive.

1. At the end of each month claim any missing shipping lists from the previous month.

B. Match the title on the shipping list with the title on the piece.

C. When a match is found, cross out the item number and write the SuDocs. classification number for the item on the upper left hand corner of the front cover of the document.

1. Then cross out the SuDocs classification number on the shipping list.

D. If an item on the shipping list is not received, check the item number in the Item selections computer printout book to see if we are supposed to receive that item.

E. If we are supposed to receive it, claim the item immediately, following GPO instructions as given in Administrative Notes, v. 5, no. 6, April 1984.

1. Photocopy the claim form for our records and send the original to GPC.

    a. Our copy is placed into the "Claims Box."

F. When the claimed item arrives from GPO, the claim form should be included in the envelope or package.

1. Pull our photocopied claim form from the Claim Box and discard it.

G. If the item is unavailable, GPO will return the claim form with an explanation.

1. Pull our photocopied claim form from the Claim Box and give it to Tech. Proc. Supervisor to request the document from Docex.

H. If we have not selected the item (an "N" will appear next to the item no.), draw a vertical line through the item number on the shipping list to indicate that we do not receive material with that item number.

I. Stamp each document with a date of reception, the UMass identification stamp, and the shipping list number.

1. Thin books receive the ID stamp on the cover; thick books are stamped on the top and foredge of the books.
2. Do not stamp over any printed or graphic matter on the cover if possible.

J. After processing from the shipping list is completed, it is placed in the shipping list file box for later sorting into shipping list number order.

K. Count the number of items processed and add them to the "Items Processed" column in the Statistics Books.

L. Documents are then placed on the sorting shelves for further processing.

III. Processing Shipping List "Notes"

A. The Initial Processor handles the following types of notes.

1. Corrections and/or additions to information on the cover or inside the document.
2. A replacement for an earlier document.

a. The Initial Processor fills out a shelving instruction sheet, checking off no.8, and inserting it into the document before it is sent forward for further processing. (See example, pg. 7).

B. The Initial Processor gives the document and the shipping list to the Serials Cataloger when the following types of notes appear.

1. Change in classificaion number or change in title notes.
2. New Classification number being added to an item number note.
3. Shipping lists which are pink and begin with the statement, "This complete listing is class corrections."
   a. Some lists may be longer than two pages. Therefore, be sure all pages are included because any extra pages will not include the class corrections note.
4. Any notes which are of strange or confusing nature.

IV. Microfiche

A. The Initial Processor places the microfiche, with the shipping list to which they belong wrapped around them, in the "Microfiche Box."

1. For instructions on processing microfiche, see section 9, pg. 69-71.

Example of shipping list for microfiche documents

GPO Form 3452a
(R 4-83)

Depository Shipping List No. M831202-2

Claims for non-receipt of publications on this list under item numbers previously selected by a library must be postmarked within 60 calendar days of receipt of this shipment. When filing a claim for missing publications, please return a copy of the list on which they appear and circle the item numbers that are missing.

Microfiche # 1987

ITEM NUMBER	CLASSIFICATION NUMBER	TITLE
594-C-35	FEM 1.209:390174	Flood Insurance Study, Village of Groveport, Ohio, Franklin County, Community Number-390174, Federal Emergency Management Agency, March 1, 1983
~~908-B~~	SE ~~1.25/12:~~83-147 thru 151	SEC News Digest Issue 83-147 thru Issue 83-151, Securities and Exchange Commission, August 1, 1983-August 5, 1983
	SE ~~1.25/12:~~83-152 thru 156	SEC News Digest Issue 83-152 thru Issue 83-156, Securities and Exchange Commission, August 8, 1983-August 12, 1983
	SE ~~1.25/1~~2:83-157 thru 161	SEC News Digest Issue 83-157 thru Issue 83-161, Securities and Exchange Commission, August 15, 1983-August 19, 1983
	SE ~~1.25/~~12:83-162 thru 166	SEC News Digest Issue 83-162 thru Issue 83-166, Securities and Exchange Commission, August 22, 1983-August 26, 1983
	SE ~~1.25/12:~~83-167 thru 171	SEC News Digest Issue 83-167 thru Issue 83-171, Securities and Exchange Commission, August 29, 1983-September 2, 1983
Y 908-C	SE 1.29:28/9	SEC Docket, Volume 28, Number 9, Securities and Exchange Commission, August 16, 1983
	SE 1.29:28/10	SEC Docket, Volume 28, Number 10, Securities and Exchange Commission, August 23, 1983
1025-A-2	Y 4.Sci 2:98/6	Job Forecasting, No. 6, 98-1 Hearing

* For Sale in Paper by the Superintendent of Documents.

Example of shipping list for paper copy documents

GPO Form 3452
(R 9-81)

Box Number 146

Depository Shipping List No. P831206-1

. Page 1 of 1

Claims for nonreceipt of publications on this list under item numbers previously selected by a library must be postmarked within 60 calendar days of receipt of this shipment. When filing a claim for missing publications, please return a copy of the list on which they appear and circle the item numbers that are missing.

ITEM NUMBER	CLASSIFICATION NUMBER	TITLE
		WE ARE USING THE INFORMATION FROM THE COMPUTER PRINTOUTS RETURNED IN DECEMBER 1982
	A 67.2:Sa 3/983	FAS USA Sales Aids for Food Exporters, Revised October 1983
507-G-26	HE 20.3173/2:CT 13/ 83/12	ICRDB Cancergram, Clinical Evaluation and Treatment of Multiple Myeloma and Other Gammopathies, Series CT13, No. 83/12, December 1983
507-G-26	HE 20.3173/2:CT 15/ 83/12	ICRDB Cancergram, Clinical Treatment of Cancer, Radiation Therapy, Series CT15, No. 83/12, December 1983
507-G-26	HE 20.3173/2:CT 16/ 83/12	ICRDB Cancergram, Genito-Urinary Cancers, Diagnosis, Treatment, Series CT16, No. 83/12, December 1983
507-G-26	HE 20.3173/2:CT 22/ 83/12	ICRDB Cancergram, Melanoma and Other Skin Cancer, Diagnosis, Treatment, Series CT22, No. 83/12, December 1983
507-G-27	HE 20.3173/2:CK 01/ 83/12	ICRDB Cancergram, Chemical Carcinogenesis, Nitroso Compounds, Series CK01, No. 83/12, December 1983
507-G-27	HE 20.3173/2:CK 14/ 83/12	ICRDB Cancergram, Mechanisms of Carcinogenesis, Oncogenic Transformation, Series CK14, No. 83/12, December 1983
507-G-28	HE 20.3173/2:CB 01/ 83/12	ICRDB Cancergram, Oncofetal Proteins, Series CB01, No. 83/12, December 1983
507-G-28	HE 20.3173/2:CB 05/ 83/12	ICRDB Cancergram, Immunobiology and Cancer, Tumor-Associated Antigens, Series CB05, No. 83/12, December 1983
507-G-28	HE 20.3173/2:CB 17/ 83/12	ICRDB Cancergram, Immunobiology and Cancer, Identification and Characterization of Immune Cells, Series CB17, No. 83/12, December 1983
507-G-28	HE 20.3173/2:CB 23/ 83/12	ICRDB Cancergram, RNA Viruses Associated with Cancer, Molecular Biology, Series CB23, No. 83/12, December 1983
1015-A	Y 4.Ed 8/1:Em 3/6	98-1 Hearing: To Reinstate the Emergency School Aid Act
1017-A	Y 4.F 76/1:L 49/4	98-1 Hearing and Markup: Statutory Authorization Under the War Powers Resolution-Lebanon
1034-A	Y 4.Ar 5/3:S.hrg.98-49/pt.5	98-1 Hearings: Department of Defense Authorization for Appropriations for Fiscal Year 1984, S. Hrg.98-49, Pt. 5
1038-A	Y 4.F 49:S.hrg.98-387	98-1 Hearing: Estate Tax Issues - 1983, S. Hrg.98-387
1041-A	Y 4.C 73/7:S.hrg.98-379	98-1 Hearings: Staggers Rail Act of 1980, S. Hrg.98-379
1041-A	Y 4.C 73/7:S.hrg.98-382	98-1 Hearing: Local Telephone Rates, S. Hrg.98-382

Example of shipping list for documents received as separate packages

GPO Form 3452
(R 9-81)

Separates

Depository Shipping List No. P831223-1

Page 1 of 1

Claims for nonreceipt of publications on this list under item numbers previously selected by a library must be postmarked within 60 calendar days of receipt of this shipment. When filing a claim for missing publications, please return a copy of the list on which they appear and circle the item numbers that are missing.

ITEM NUMBER	CLASSIFICATION NUMBER	TITLE
		WE ARE USING THE INFORMATION FROM THE COMPUTER PRINTOUTS RETURNED IN JUNE 1983
		THIS SHIPMENT IS BEING MAILED IN FIVE SEPARATE PACKAGES.
FIRST PACKAGE 159-C-6	C 3.223/8:980/D 7	1980 Census of Population, Characteristics of the Population, Detailed Population Characteristics, Colorado, PC 80-1-D7, S/N 003-024-05182-6, * $10.00
SECOND PACKAGE 159-C-7	C 3.223/8:980/D 8	1980 Census of Population, Characteristics of the Population, Detailed Population Characteristics, Connecticut, PC80-1-D8, S/N 003-024-05183-4, * $11.00
THIRD PACKAGE 310-E-4	D 1.64:982	Commercial Activities Inventory Report and Five Year Review Schedule, FY 1982
FOURTH PACKAGE 431-D-3	TD 4.310:983/3	Location Identifiers, 7350.5E, November 24, 1983, * on sub.
FIFTH PACKAGE 474-A-6	E 1.17:8/23	Energy Research Abstracts, Volume 8, Number 23, December 15, 1983, * $9.50
		* For Sale by the Superintendent of Documents.

Example:

Shelving Instruction Sheet

SHELVING INSTRUCTION

CALL NUMBER

EP1.8:600/3/28

1) ____ CURRENT VOLUME ONLY RETAINED
Return all previous volumes to the Documents Office to discard.

____ If there is no volume on the shelf for this one to replace, check here and return slip to Documents.

2) ____ LOOSE-LEAF SUPPLEMENT
To be filed inside binder. Follow filing instructions carefully, discarding issues or pages as instructed.

3) ____ POCKET SUPPLEMENT
To be inserted in back cover of volume. Discard supplement replaced by this one.

4) ____ SUPERSEDING VOLUME TO REPLACE EARLIER VOLUME
Please return superseded volume to the Documents Office.

5) ____ CUMULATION REPLACING MONTHLY/QUARTERLY ISSUES
Discard individual issues.

6) ____ LATEST VOLUME IN DOCUMENTS REFERENCE, OTHER VOLUMES IN DOCUMENTS STACKS
Return earlier volumes to Documents Office for relabeling and redistribution to stacks.

7) ____ MICROFICHE TO REPLACE PAPER COPY
Return paper copy to Documents Office for discarding.

8) √ THIS ISSUE REPLACES DEFECTIVE COPY ALREADY ON SHELF. Return defective copy to Documents Office for discard.

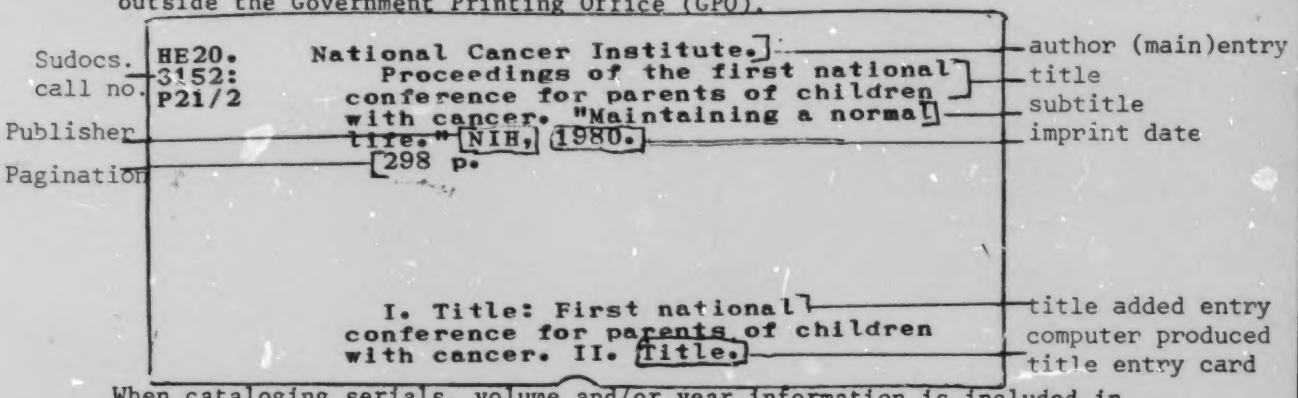
9) ____ OTHER

SECTION 2

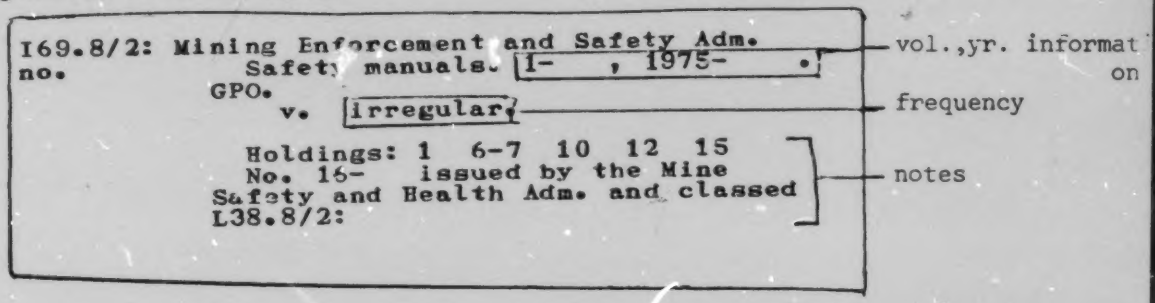
DOCUMENTS CATALOGING RULES

I. Introduction

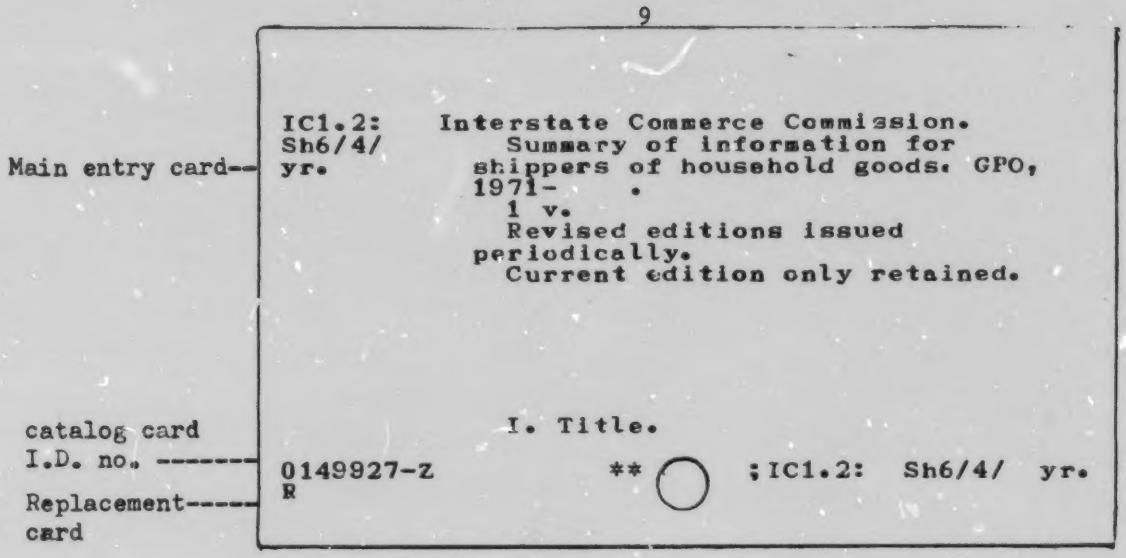
The card catalog for the U.S. Government Documents Collections consists of records for monographs, congressional hearings and prints, and serials. A complete catalog record consists of a call number, an issuing agency, a title, a subtitle, if necessary, an imprint date, pagination, occasional notes, and title added entries. A place of publication and publisher are used only if the item is published outside the Government Printing Office (GPO).

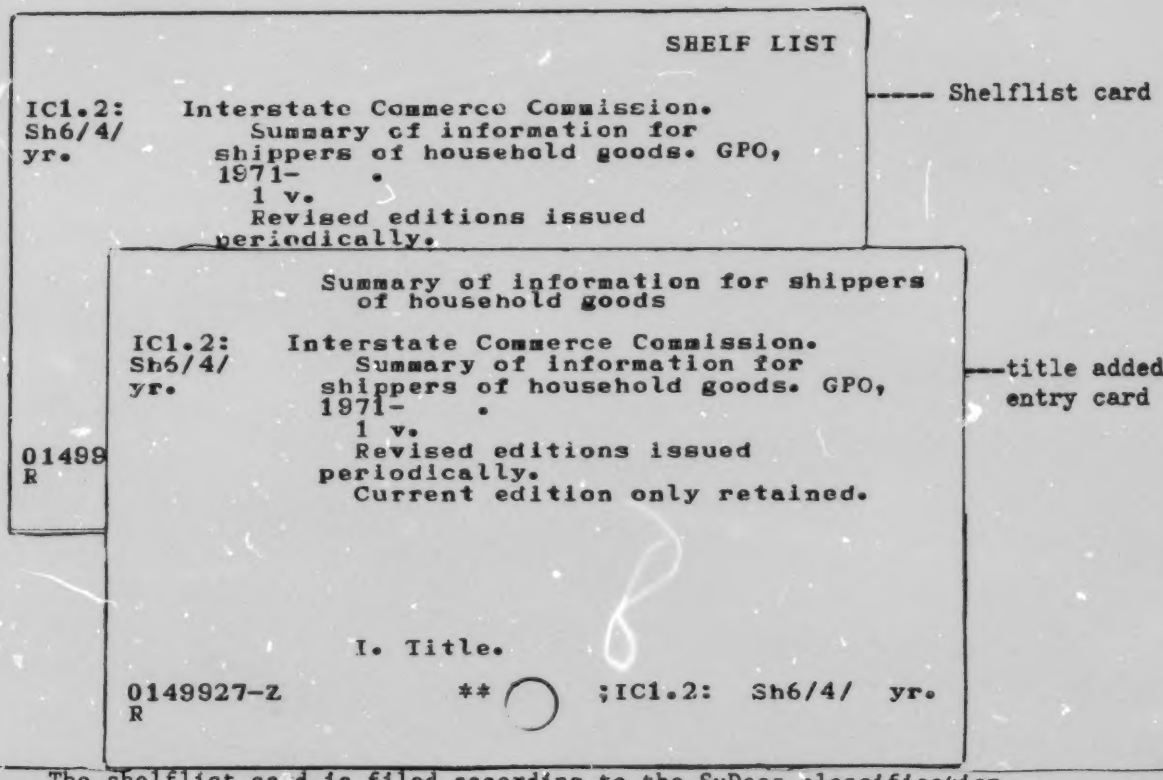


When cataloging serials, volume and/or year information is included in the added title area. Frequency is often included after the pagination if it is known.



The computer program, into which this catalog information is entered, produces a catalog card set for each item cataloged consisting of at least three catalog cards. These cards includes the following: 1. a main entry card, which is usually the issuing or sponsoring government body, 2. a title card. 3. a shelflist card. There may also be cards for added title entries when necessary for a more complete identification of the publication.





The shelflist card is filed according to the SuDocs classification number into the shelflist catalog which is located in the Documents Office. The author card(s) and title card(s) are filed in alphabetical order into the author-title catalog which is located in the Documents stack area.

II. General Information

The primary source of information for recording catalog information is the title page of the item being cataloged. If there is no title page, the cover is used. A third source of information is the body of the work itself. For instance, the GPO publishing date, which is used as the date of publication, is usually found at the back of most government documents rather than on the title page or verso. For microfiche the primary source of information will be the fiche header. If information is obtained outside the document, it should be enclosed in parentheses.

Example: The Society, (1980)
(NIH, 1980)

All cataloging information is recorded on catalog worksheets (see example, pg. 12-13). Each worksheet is divided according to a computer code, or field number, along with its literal equivalent. These fields become especially important when correcting or updating already printed catalog cards. (see Sec. 4, Catalog Card Correction, pg. 44-48).

The keypuncher in Information Processing keypunches each field number and its written information on a separate keypunch card. The code determines where and how the written information will appear on the catalog card.

A. Capitalization

1. With the exception of articles and conjunctions the first letter of each word of all agencies, committees and subcommittees, acts and programs, and proper and personal names should be capitalized.

   Abbreviations such as "H.R." and "S" for House and Senate bills and "P.L." for Public Law should also be capitalized.

   Example: a) Equal Credit Opportunity Act amendments and Consumer Leasing Act.

   b) Repeal of Section 2(n) of the Federal Reserve Act.

2. All named Seminars, Conferences, Workshops, etc. should be capitalized.

   Example: a) The Seminar on Affluent Effluent

   b) Proceedings of the Conference on Government Documents.

Documents Cataloging Worksheet

95 Documents Number

01 Main Entry

04 Title

05 Added Title Data

06 Imprint (if other than GPO)

09 Collation

13-29 Notes

80-89 Added Titles

90-92 Series

Documents Cataloging Worksheet for Microfiche

94 Location
Microfiche

95 Documents Number

01 Agency Main Entry

04 Title

05 Added Title Data

08 Date of Publication

09 Collation

13-29 Notes

70-79 Added Authors

80-89 Added Titles

B. Punctuation

1. The cataloger must always follow precisely as possible the wording and punctuation of all titles as they appear on the primary source of information. When uncertain, a colon always follows the title and precedes the first word of a subtitle or alternative title. It is important to remember that a space always follows any mark of punctuation.

III. Monographic Cataloging

A. SuDocs Classificaton Number (field 95)

1. The SuDocs class no. is found in most cases on the upper left hand corner of the document. If it is a hard bound vol., the number may appear on the spine or on the inside of the front cover.
2. The SuDocs number must be preceded by a semicolon when transcribed onto the catalog worksheet. This semicolon signals the computer that a SuDocs number format will follow instead of the LC class no. format.
3. There should be no space between the semicolon and the number.
4. If the SuDocs number is longer that 7 spaces, a break should be indicated with a penciled checkmark at the eighth space or at the closest period, colon, or slash within the SuDocs number. A break should always be made at the colon.

;T17.5/2:A17

;A13.31/5:C8/2/978

a. These breaks let the keypuncher know how to format the classification number for the computer.

B. Main Entry (field 01)

Form of Entry.

1. The main entry must be a government body.
2. Never use "United States" at the beginning of the entry as is the case with LC entries.
3. Personal authors or editors are never used.
4. Always end the main entry with a period.
5. Some agency names must be reversed.
   a. Bureau of Outdoor Recreation.
      not Outdoor Recreation Bureau.

b. Department of Housing and Urban Development.
not Housing and Urban Development Department.

c. Department of Education.
not Education Department.

Choice of Entry.

6. Choose the most distinctive and specific part of the hierarchy.
Department of Health and Human Services ---- use parent agency.
Division of Public Information ---- nondistinctive sub agency is not used.

7. Do not list any other hierarchical subdivisions.

8. List of classes of United States government publications may be used to determine main entry that corresponds most correctly to the assigned SuDocs class no. of the piece.

9. Government organization manual can also be used to verify a choice of entry.

C. Title (field 04)

1. The title should be transcribed exactly as it appears on the title page of the document.
a. The cover is used if there is no title page.

2. Any part of a title following a period, colon, or semicolon should be moved into the added title area (field 05).

3. If the word "Massachusetts" or "New England" appears in the title, but not as the first word, make a title added entry (field 80) with those words as the first word.

4. Nondistinctive titles should be suppressed.
a. Write a red asterisk (*) before the title as a signal to the computer to suppress the production of that particular title card.

Examples: Annual report. Papers Transactions.
Proceedings. Report. Symposium. Acts.

D. Added Title Data (field 05)

1. The added title area is for any part of the title which is not an integral part of the title, such as the subtitle or alternative title, but may be necessary to more closely identify the publication.

2. Do not include personal or corporate authors in this field. Personal authors are never used in documents cataloging and author statements concerning government bodies not included in the main entry appear in the Notes area. The exception is Congressional Hearings and Prints. (See Sec.2.IV.D, pg. 19).
3. Edition statements (e.g. 2d ed., 4th ed.) follow any title or other information which may appear in this field.

E. Imprint (field 06)

1. If the publisher is other than the Government Printing Office (GPO) it should be entered in this field. The publisher and date of publication should appear on either the title page, verso, or somewhere in the body of the publication.
2. If the publisher is the same as the author, then the entire corporate name need not be typed out. Instead, the more general form (i.e. The Society, The Agency, The Department) is entered.
3. If the publisher is the GPO, only the imprint date should appear in the imprint area.
4. If the item is one which is revised periodically, and only the latest volume is retained, no imprint date is recorded.

F. Collation (field 09)

1. This field is to be used for pagination.
   a. The last numbered page at the end of the document should be considered the last page of the document.
2. If paging is irregular or nonexistant, use one of the following notes.

   lv. (various paging)
   lv. (unpaged)
   lv. (looseleaf)
   pamphlet -- small document of less than 10 pages
   map -- folded or rolled maps

3. Illustrative information or size designation is never used.
4. Important or descriptive series can be entered as the last element in the collation area.
   a. All series are enclosed by parentheses.
   b. These series should never be repeated in the Series area (field 90-92)

G. Notes (field 13-29)

1. Notes are generally used to amplify or qualify information about a publication that is not available in the formal description.
2. The 13 field is always left blank in monographic cataloging of documents, with the first note in the 14 field.
3. Notes for monographs are used infrequently in documents. When they are used they should appear in the following order.

a. Location.

Located in DOCUMENTS REFERENCE

Located in MORRILL LIBRARY MAP ROOM

b. Title.

Cover title: The American dream

c. Editions

1. Linking notes between editions which have changed title or class.

Earlier editions have title:

Later editions have title:

2. Notes for new or revised editions published periodically, of which only the latest edition is retained.

Revised editions issued periodically

Current edition only retained.

d. General notes.

1. Note for popular titles and references to Committee hearings or government reports which are not part of the formal description.

Also known as: The Pentagon papers (see H.3. below).

2. Note for looseleaf editions.

Kept up to date by looseleaf additions (transmittals, changes, etc.).

3. Contents notes. (always the last note on the catalog record).

CONTENTS: v. 1. New England.--v. 2. Midwest.--v. 3. West.

(Partial contents)

CONTENTS: v. 1. New England.-- --v. 3. West.

H. Added Titles (field 80-89)

1. Distinctive or otherwise important titles by which the item may be identified, but are buried in the main title as transcribed in the title area.
2. Important subtitles or alternative titles that have been entered in the Added Title area (field 05).
3. Popular titles or references to the item which have been noted in the Notes area (See G.3.c.1).
4. Cover titles or other titles present in the item but which are radically different from the title page and have been noted in the Notes area.

I. Series (field 90-92)

1. Never used in Documents cataloging.

IV. Congressional Hearings and Prints

A. SuDocs Classification Number (field 95)

1. Follow instructions of Sec. 2.III.A.1-4.pg. 14.
2. When a number of parts or volumes are involved for lengthy hearings, or prints, use "pts." or vols." as appropriate at the end of the SuDocs class no.
   a. Make temporary shelflist cards for hearings or prints with multiple parts.
   b. Pencil in the holdings on the top of the temporary or permanent card as new parts arrive.

B. Main Entry (field 01)

1. The author of the Congressional hearings or prints is the Committee holding the hearing or requesting the print.
2. Do not enter under Subcommittee or subdivide under Subcommittee.
3. Main entry is formatted in the following way:
   a. Congress. Senate. Committee on _____
   b. Congress. House. Committee on _____
   c. Congress. Joint Committee on _____

C. Title (field 04)

1. The title is located at the top of the title page, which is also the cover.
2. Follow instructions of Sec.2.III.C.1-4.pg. 15.

D. Added Title Data (field 05)

1. Should begin with "Hearings" then indicate the Subcommittee holding the hearings if that information is present. If not, the bills being considered and the date of the hearings follows.
2. After the period ending the date information, include the Congressional session.
   a. Congress is capitalized.
   b. session is in lower case letters.
   Example: Hearings before the Subcommittee on International Finance on S. 1033 held March 21, 1974. 93d Congress, 2d session.
3. Committee prints include information identifying who actually wrote the study or for whom the study was done.

E. Imprint (field 06)

1. Follow instructions of Sec.2.III.E.1-2,pg. 16.

F. Collation (field 09)

1. Follow instructions of Sec.2.III.F.1-3.pg.16.
2. If the SuDocs number or the title page indicate that the hearing or print is a numbered part, the collation should be written as follows:
   a. pts.
   b. v.

G. Notes (field 13-29)

1. Follow instructions of Sec.2.III.G.1-2.pg.17.
2. Committee prints: field 14 will always be the first note with the statement:

   Committee Print.

H. Added Title (field 80-89)

1. Follow instructions of Sec.2.III.H.1-4.pg.18.

I. Multi-volume hearings and prints.

1. Occasionally multi-volume hearings or prints will be issued with nonsequential numbers:

   Y4.M54:93-7 (part 1)
   Y4.M54:93-29 (part 2)

   a. Make a separate card for each nonsequential number and indicate the part number directly after the title. Do not put the volume or part number in the SuDocs class no.
      Example: Growth and its implications. pt. 2.
   b. A note will have to be made making reference to the class no. of the other part(s), if that information is available.

J. Original classification of hearings and prints.

1. CIS in the call number.
   a. Committee hearings and prints, for which no SuDocs class no. can be found after a search of CIS volumes and Monthly Catalog should be given the ID no. used in the CIS index instead, allowing the hearing or print to be classed and shelved and available for use by patrons.

Print from House. Committee on Foreign Affairs.
Y4.F76/1:H382-21/975/CIS
Committee: CIS citation number; year of CIS vol.

V. Serials Cataloging (Examples of serials cataloging exhibited on pgs. 25-28).

A. SuDocs Classification Number. (field 95)

1. Follow instructions for Sec.2.III.A.pg.14.
2. A simple abbreviation which identifies the serial numbering scheme is used after the colon to designate volume or issue numbers and/or dates.

A77.15:ARS-34-no. (Agricultural Research Service numbered series)
E1.28:Ser/no. (Series/number)
EP1.6:yr. (year)
Ju2.3:yr./no. (year/number)
L2.3:vol./no. (volume/number)

B. Main Entry. (field 01)

1. Follow instructions for Sec.2.III.B.pg.14-15.

C. Title. (field 04)

1. Follow instructions for Sec.2.III.C.pg.15.

D. Added Title Data. (field 05)

1. Follow instructions for Sec.2.III.D.pg.15-16.
2. Insert bibliographic data if available after any subtitle.

1st- 1977 . (Current)
v. 1-3; 1975-1979. (Discontinued)

E. Imprint. (field 06)

1. Follow instructions for Sec.2.III.E.1.pg.16.
2. No imprint date should appear on a serials catalog record except when it is apparent that the year of publication is separate from the volume/issue numbering (i.e. date is located at the bottom of the title page, on the verso, or at the back of the issue) or when the publication date of the first issue is different from the date given in the bibliographic data in the 05 field.

F. Collation. (field 09)

1. v.--for volumes; nos.--for numbers.
2. If the frequency of the serial is known it is included after the volume or number information and separated from the other information by two spaces.

v. annual.

G. Notes. (field 13-29)

Notes should appear on the catalog record as they are listed below.

1. Item currently received and checked in on a Documents Serial Record.

13. $a

a. The symbol, $a, will prompt the computer to print the note:

FOR HOLDINGS SEE DOCUMENTS SERIAL RECORD

2. Item kept in Documents Reference Room and older volumes kept in Documents stacks:

14. LATEST VOL. IN DOCUMENTS REFERENCE

15. OTHER VOLS. IN DOCUMENTS STACKS

a. If the item were not currently received, nothing would appear in the 13 field and the above notes would still be in the 14 and 15 fields.

3. Item currently received and sent to Serials Section for processing into the general stacks.

a. This note should always appear in the 14 field.

14. FOR HOLDINGS SEE CENTRAL SERIALS RECORD

4. Item sent to Serials Section, use the following notes which should follow G.3. above when the item is currently received. If the item is not currently received, a holdings note may appear in the 14 field as illustrated in 5. a-b below. If there is no holdings note, as mentioned in G.3. above, these notes would then appear first.

15. Cataloged to:	L	Note that each line of
16.	1	the call no. must be
17.	R4	listed as a separate
18.	Per	note.

5. Holdings notes.

   a. Current year only.

      14. Holdings: current year only.

   b. Incomplete holdings for a serial no longer received.

      14. Holdings: 1 3-5 8

      14. Holdings: 1-5 (1977-1979) 8 (1981)

      14. Holdings: 4N1-3 5 (1979) 5N2-6 (1980) N=number

6. Connection with preceding publications. A serial that appears under a different title or different name or corporate author but continues the numbering of the predecessor is considered to "continue" that publication; if the numbering has not been continued, however, it "supersedes" it.

      Continues Dept. of Health, Education, and Welfare./Education statistics. (HE20.3016:yr.)

   a. For a publication which is going to be issued only in microfiche, after having been issued only in paper, use the following linking note.

      1974-1980 issued in paper copy only.

7. General notes.

   a. Frequency notes--used when there are frequency changes over periods of time.

      Monthly, 1968-1974; quarterly, 1975- .

   b. Title varies notes--used for minor title changes, or changes of short duration where a continues note and the creation of a separate catalog record are not necessary.

      Title varies: 1971-1972, Trees in the northeast; 1973-1975, Trees of the northeast region.

   c. Distinctive title note--used for a serial which has a general series title, but each volume in the series has its own specific title.

      Each vol. has also a distinctive title.

   d. Looseleaf note--used with loosleaf serials which are updated with looseleaf supplements.

      Kept up to date with looseleaf supplements.

e. Microfiche note--when some issues of a title are received on microfiche, the title should be cataloged according to the paper copy and the following note for microfiche added.

Some issues received on microfiche.

1. See also sec. 10, Processing microfiche and sec. 12, Cataloging microfiche.

f. Contents note--See Sec.2.III.G.d.3.pg.17-18.

8. Connection with later publications--used for all publications which are continued or superseded by another publication. This note, when needed, should always appear last.

Continued by Department of Education./Education statistics. (ED1.112:yr.)

a. When the new record is for microfiche format and earlier issues included in the record being closed out were issued only in paper, use the following linking note.

1980- issued only in microfiche.

H. Added Titles (fields 80-89)

1. Follow instructions on Sec.2.III.H.pg.18.
2. Titles identified in a "title varies" note must be entered in the Added Titles area.

95 Documents Number

;C13.22:

01 Main Entry

National Bureau of Standards.

04 Title

Journal of research of the National Bureau of Standards (1977-).

05 Added Title Data

v. 82- Jul/Aug 1977-

06 Imprint (if other than GPO)

09 Collation

v. bimonthly.

13-29 Notes

14. FOR HOLDINGS SEE CENTRAL SERIAL RECORD
15. Catalgged to: PHYS SCI
16. QC
17. 1
18. U521
19. Per
20. Supersedes National Bureau of Standards./ Journal of research; A, physics and chemistry (C13.22/sec.A:).

80-89 Added Titles

90-92 Series

95 Documents Number

;FEM1.1:yr.

01 Main Entry

Federal Emergency Management Agency.

04 Title

A report to the President on comprehensive emergency management.

05 Added Title Data

(1st)- 1979-

06 Imprint (if other than GPO)

09 Collation

v. annual.

13-29 Notes

13. $a
14. Title varies: 1979, Comprehensive emergency management.

80-89 Added Titles

80. Comprehensive emergency management.

90-92 Series

95 Documents Number

;E1.12/2:yr.

01 Main Entry

Department of Energy.

04 Title

Brookhaven National Laboratory telephone directory.

05 Added Title Data

06 Imprint (if other than GPO)

09 Collation

v. annual.

13-29 Notes

13. $a
14. LATEST VOL. IN DOCUMENTS REFERENCE
15. Holdings: current year only

80-89 Added Titles

90-92 Series

95 Documents Number

;A93.10/2:nos.

01 Main Entry

Economic Research Service.

04 Title

Agricultural outlook.

05 Added Title Data

1-31; Jun 1975-Apr 1978.

06 Imprint (if other than GPO)

09 Collation

31 nos. monthly.

13-29 Notes

14. Holdings: 1-2.(Jun-Jul 1975)..4-31. (Sep 1975-Apr 1978)
15. Supersedes Economic Research Service./ Agricultural outlook digest. (A93.10:nos.)
16. Cataloged to: HD
17. 1751
18. A62
19. Per
20. Continued by Economics, Statistics, and Cooperatives Service./ Agricultural outlook. (A105.27:nos.)

90-92 Series

VI. Multimedia Material

A. Paper and microfiche.

1. Author main entry through imprint (fields 01-08) are cataloged the same as a regular monograph. (See Sec.2.III. Monographic Cataloging, pg. 14-18)

2. Collation (field 09).

a. Pagination is followed by the number of fiche and placement in the book.

25p. + 5 fiche in pocket

C. Fiche shall be removed from the item and placed in the Documents Microfiche area.

1. The location of the fiche is added as a note on the cataloging record.

Microfiche located in Documents Microfiche area.

D. Type a reference card and place it in the pocket to alert the user of the location of the microfiche. (See example below).

LC1.2:W33

5 fiche

MICROFICHE LOCATED IN DOCUMENTS MICROFICHE AREA

VII. Microfiche Cataloging

A. Location. (field 94)

1. "Microfiche" is already preprinted in this field on the catalog worksheet.

B. SuDocs Classification Number. (field 95)

1. SuDocs classification number is located at the top left hand corner of each sheet of fiche. (for example see D-1 below).
2. For entry of class. no. onto the worksheet, see Sec. 2. III.A.2-4.pg.14.

C. Main Entry. (field 01) See Sec.III.B.pg.14-15.

D. Title Entry. (field 04)

1. Transcribe the title exactly as it appears on the fiche header up to the first 3 period break.

a. Spell out any abbreviations which are present for no other purpose than to shorten the title in order to make it more manageable on the fiche header.

syst. = system

dist. = district

b. Abbreviations for U.S. or Dept. when they actually appear in the title as abbreviations are not spelled out.

E. Added Title Data. (field 05)

1. Used only if the title in the 04 field is exceptionally long (over 5 lines) and can be broken logically at a : or ; or , .
2. When cataloging Committee hearings, reports or prints, include the information after the first 3 period break.
3. For the entry of serial bibliographic information see Sec.2.V.D, pg. 21.
4. For added information concerning added title data see Sec.2.III.D, pg. 15-16.

F. Imprint Date. (field 08)

1. Enter date of publication which is the year listed at the end of the entry on the fiche header. (see example in D.1 above).

G. Collation. (field 09)

1. Enter the number of fiche in each packet. The total number of fiche is listed in the upper right hand corner of each sheet of fiche. (see D.1 above).
2. For multiple volume sets or serials, the entry should appear as follows:
   a. 3v. in 20 fiche.
   b. v. in fiche.

H. Notes. (fields 13-29)

1. Notes for monographs--see Sec.2.III.G.1-3, pg. 17.
2. Notes for Committee hearings--see Sec.2.IV.G.1-2, pg. 20.
3. Notes for serials--see Sec.2.V.G.1-8, pg. 22-24.

I. Added Authors. (field 70-79)

1. Includes agencies whose importance or popularity requires an entry in the public catalog. Such agencies would also need to be present in the catalog record before being entered in a 70 field.

J. Added Titles. (field 80-89)

1. Follow instructions for Sec.2.III.H.1-4, pg. 18.

94 Location

Microfiche

95 Documents Number

03 Title Main Entry

05 Added Title Data

08 Date of Publication

09 Collation

13-29 Notes

80-89 Added Titles

SHELF LIST

Micro-
fiche
TD4.2: Federal Aviation Administration.
W72 Wind--ceiling--visability data at selected airports, volume 1, New England region. 1980.
7 fiche.

I. Title.

0182680-Z * ;TD4.2: W72
R

Micro-
fiche
TD4.2: Federal Aviation Administration.
W72 Wind--ceiling--visability data at selected airports, volume 1, New England region. 1980.
7 fiche.

Wind--ceiling--visability data at selected airports, volume 1, New England region
Micro-
fiche
TD4.2: Federal Aviation Administration.
W72 Wind--ceiling--visability data at selected airports, volume 1, New England region. 1980.
7 fiche.

W72

I. Title.

0182680-Z * ;TD4.2: W72
R

VIII. Map Cataloging

A. Introduction.

1. In July, 1982, the decision was made to transfer most maps to the Morrill Library Map Room. It was believed that the maps would be better housed there as well as making all maps available to students in one location.
2. Exceptions to this transfer included such categories as the following:
   a. Maps associated with a publication or study housed in the Documents collection.
   b. Park Service promotional pamphlets of national parks and monuments.
   c. CIA maps of foreign countries.
   d. Census maps.
3. In accordance with this transfer, it was decided that the following procedures for cataloging and processing of maps (See Sec. 10, pgs. 72-73, Processing maps) should be developed to ensure that expedient and consistent processing and accounting of each map would be guaranteed before it was separated from the Documents area.

B. SuDocs Classification Number. (field 95).

1. SuDocs classification number is located at the top left hand corner of each map.

C. Agency Main Entry. (field 01)

1. Use agency indicated in the agency portion of the SuDocs class. no.

D. Title entry. (field 04)

1. Transcribe the title (area covered by the map, usually identified by the boldest print on the map) exactly as it appears on the map.
   a. Included the state if it is available, even though it may not appear as part of the bold print of the title.

E. Added title entry. (field 05)

1. Includes such items as meridian identifiers, ranger districts, important and/or distinctive subtitles.

F. Date of publication. (field 08)

1. Latest date present on the map.

G. Collation. (field 09)

1. Number of maps in a set.

1 map.

36 maps.

2. If printed text accompanies the map it should be included.

pamphlet. map. (if text is less than 10 pages).

26p. map.

3. Scale is not included in the collation.

H. Notes. (fields 13-29)

1. Location note.

Located in MORRILL LIBRARY MAP ROOM

2. Series note.

a. If a map is part of a series for which only some parts have been received, the following note is added.

Holdings on shelflist card only.

1. The parts received are penciled in at the top of the catalog card.

3. Revised edition notes.

Revised maps issued periodically.

Current map only retained.

I. Added title. (field 80-89)

1. Used only if a subtitle of the main title is important enough to warrant an added title. This includes Massachusetts material, local area maps, two or more major areas covered in one map, etc.

SECTION 3

FILING RULES

I. Introduction

In general, filing rules for the Documents card catalog will follow strict alphabetical and/or numerical arrangement wherever possible. However, due to the unique nature of and changes to the SuDocs classificaton system, as well as the simplified cataloging of UMass Documents materials, some exceptions have become unavoidable and necessary.

II. Superintendent of Docuemnts (SuDocs) Classification System

The SuDocs class number has two main divisions: 1) the class stem, which consists of an alpha-numeric combination before the colon, 2) the book number which consists of a numeric or alpha-numeric sequence after the colon.

The class stem can be further broken down into two parts: a) the author or agency symbol, b) the series designation.

Example:	Symbol			Hierarchy
1. Class stem	L	a) agency symbol	Parent agency	Dept. of Labor
	2		Sub agency	Bureau of Labor Statistics
	.3	b) series design.	Series or generic type	Bulletin (series)
2. book number	:1902		Individual publ.	Bulletin 1902

Government publications are classed according to Provenance, or issuing agency, and not according to subject as is the case in Library of Congress classification.

The series designation that follows the agency symbol is preceded by period and designates a specific series, periodical, continuation or generic type. Numbers .1-.8 are reserved for the following types of publications:

.1 Annual (CY or FY) reports

.2 General publications

.3 Bulletins

.4 Circulars

.5 Laws (administered by the agency)

.6 Regulations, rules, and instructions

.7 Press releases

.8 Handbooks, manuals, guides

Generic types include addresses (speeches), bibliographies, maps, and posters and are not assigned a specific number.

New series closely related to already existing series are designated by the use of a slash following the number assigned to the existing series followed by a digit for each related series beginning with 2.

A89.4 Farmer Cooperative Service circulars

A89.4/2 Farmer Cooperative Service educational circulars

This devise is also used for superseded periodicals.

C1.58 Commerce today

C1.58/2 Commerce America

Monographs are classed in much the same way except these unnumbered publications are given a book number based upon the keyword in the title using the 2-figure Cutter table. Revisions of unnumbered publications are identified by addition of the slash and the last three digits of the year of revision. Also, a single or double digit number following the Cutter letter serves to further distinguish the individuality of the work.

Example: Explanation of the Superintendent of Documents Classification system

GP3.2:C58/6/973

	Symbol		Provenance or Hierarchy
class stem	GP	Parent agency	Government Printing Office
	3	Sub agency	Asst. Gov. Printer, Supt. of Docs.
	.2	series or generic type	General publication series
book number	:C58	Individual publication	Alpha-numeric Cutter number
	/6	Closely related publ.	Sixth ed. or separate publ.
	/973	Edition	Revised edition in 1973

III. Shelflist Filing Rules

A. Author/agency symbols are filed in strict alpha-numeric order.

A1.103:

A13.3:

C3.209:

C3.209/2:

B. Numbers alone in the "book number position following the colon are filed before alpha-numeric cutter groups.

GA1.13:209

GA1.13:Ser.-yr.-no. (Ser. = any series which uses letters, AFR, OLMN, etc., or numbers).

GA1.13:A15/5

GA1.13:Ac2/13/970-71

C. Alpha-numeric cutter groups after the colon are filed before number-letter-number cutter groups.

Y3.T22:1/980

Y3.T22:Ac32

Y3.T22:M4/980

Y3.T22:2T22/4

Y3.T22:11C45

D. Later editions of a document, represented by the year of issuance in the form of three digits at the end of the class. no., are filed chronologically behind the first edition.

NF2.8:Ar2

NF2.8:Ar2/976

NF2.8:Ar2/978

NF2.8:Ar2/2

NF2.8:Ar2/2/971

E. Exceptions to basic rules.

1. Hearings and Prints.

a. Congressional series using numbers only after the colon

will follow any alpha-numeric cutter combinations.

Y4.In8/14:C65	Y4.W36:T19/4
Y4.In8/14:C65/973	Y4.W36:W26
Y4.In8/14:S43	Y4.W36:WMCP95-3
Y4.In8/14:92-4	Y4.W36:WMCP97-46
Y4.In8/14:95-3	Y4.W36:96-12

1. The 92, 94, etc. identifies the Congress, while the number after the dash is a numerical identifier for a particular hearing.

b. Congressional series using numbers and letters, i.e. 95-A, 97-H9, after the colon follow the alpha-numeric cutters and Congressional series using numbers only for each Congress.

Y4.Sci2:A42	Y4.P96/10:R55
Y4.Sci2:C87	Y4.P96/10:95-46
Y4.Sci2:95-1	Y4.P96/10:96-108
Y4.Sci2:95-A	Y4.P96/10:96-H3
Y4.Sci2:96-23	
Y4.Sci2:96-BB	

c. House Judiciary Committee Congressional series hearings and prints for the 97th Congress are identified as J-97-1, etc. They are filed as if there were no J- present in the class no.

1. They do not file with those hearings which have a J cutter (J43, J62/5, etc.) but after the numbered series of the 96th Congress.

Y4.J89/1:J62/5	
Y4.J89/1:J97/3	Alpha-numeric cutters
Y4.J89/1:T45	
Y4.J89/1:96-101	Congressional series numbers
Y4.J89/1:J-97-1	

d. Senate hearings and prints from the 98th Congress onward are identified as "S.hrg" for hearings and "S.prt." for prints. These abbreviations are followed by the number of the Congress and a unique series number. (S.hrg.98-1; S.prt.98-1).

1. Such hearings and prints are filed after the Congressional series of the 97th Congress or at the end of the alpha-numeric cutters if there is no series.
2. File as if the S.hrg. or S.prt. were not present. However, when interfiling them within the particular series order, the hearings, S.hrg., file before the prints, S.prt.

Y4.F49:S84
Y4.F49:S96/3
Y4.F49:T24/980
Y4.F49:96-83
Y4.F49:97-114
Y4.F49:S.hrg.98-7
Y4.F49:S.hrg.98-33
Y4.F49:S.prt.98-9

e. Congressional Information Service (CIS) Index identification numbers are used on hearings that must be cataloged originally in the Documents Office. The CIS identification number is assigned to a hearing or print which has been indexed in the CIS Index. The year of the index in which the hearing or print appears is also included in the original classificaton number.

Y4.Ar5/2:H402-5/975/CIS ——— CIS Index I.D. no.

Y4.G74/9:S321-1/976/CIS ——— Year of CIS Index

f. Original classification numbers follow all alpha-numeric cutters and numeric series combinations.

Y4.In8:B6
Y4.In8:93-2
Y4.In8:95-CCC
Y4.In8:H402-5/975/CIS

IV. Author-title catalog filing rules

A. General rules.

1. Cards are filed alphabetically line by line, disregarding punctuation and kind of entry. Agency or committee names, titles and phrases beginning with the same word or words are filed in one sequence.

Dept. of Agriculture.

Dept. of Agriculture Library.

Dept. of Agriculture. Office of Information.

2. Filing is word by word, rather than letter by letter.

a. Within each filing entry, nothing (blank space) comes before something. Thus, New (blank) Orleans comes before Newark.

New Orleans

New York

Newark

3. When two or more cards have an identical top line, filing order is then determined by the second or third line depending on the type of entry. All typed lines above the author line on a card are to be counted as one line.

a. If the top lines are identical author entries, file by the second line, or title entry.

Bureau of Labor Statistics.
Annual report.

Bureau of Labor Statistics.
Bulletin.

Bureau of Labor Statistics.
Current wage developments.

Congress. Senate.
Reports.

Congress. Senate. Committee on Foreign Affairs.
Hearings on imports and tariffs.

b. If the top lines are identical title added entries, file by the second (author) line.

Report on cost overruns.
Administrative Conference of the U.S.

Report on cost overruns.
Administrative Office of the United States Court.

Report on cost overruns.
Dept. of Defense.

c. If the title and agency entries are identical, file chronologically from earliest to latest by year of publication.

B. Exceptions and Special categories.

1. Articles.

a. A, An, The and their foreign equivalents are disregarded as the first word of a title. Articles after the first word of a title or a corporate entry are treated like any other word.

La escuela del Latino Americana
An evaluation of solar energy

b. Articles used as part of a corporate or place name are filed as integral parts of the name.

El Diablo
Elm trees
El Paso

2. Abbreviations

a. Abbreviations as parts of corporate names, titles or proper names are filed as though spelled out in full.

Adm. - Administration
Dept. - Department
Comm. - Committee

(As of Feb. 1980, abbreviations are no longer used in the main entry.

3. Initials

a. Every series of initials is filed as though it spelled a word, regardless of whether or not the initials are

separated by spaces or periods or unspaced.

Tubular

T V guide

T.V.A.

a. Exception: U.S. (in capitals) is filed as if spelled out- United States - whether with or without periods.
U.S.A. (in capitals) is filed as if it is spelled as one word whether with or without periods.

4. Numerals

a. Arrange numerals or years in the titles of documents, which are not part of any series, as if they were spelled out.

24 ways to beat inflation

Twin cities urban development plan

2 reports on national security

1974 report on families

1971 survey of federal prisons

b. Numerals following headings that are otherwise identical are to be filed numerically.

The American nation: a history, v.2

The American nation: a history, v.3

5. Dates

a. Dates in a series are filed in chronological order with earliest dates first.

Census, 1st, 1790

Census, 2d, 1800

Census of manufactures

b. Dates within titles or following titles that are otherwise identical are to be filed chronologically.

Survey of industry, 1878

Survey of industry, 1899

Survey of industry in Europe

Survey of industry thru 1976

Survey of industry until 1974

6. Subtitles

   a. Subtitles are filed continuously with the title; the two are treated as one unit, not two.

      The Commonwealth. (book title)
      The Commonwealth, a recent report. (book title)
      The Commonwealth and restoration. (book title)

7. Periodicals

   a. Periodical titles may be identified by the notes FOR HOLDINGS SEE DOCUMENTS SERIAL RECORD or FOR HOLDINGS SEE CENTRAL SERIALS RECORD which appear on the catalog card.

   b. A periodical title is filed before a book title which has identical wording.

   c. In filing a periodical title, a subtitle, if present, is ignored. However, if two periodicals have identical titles, subtitles are used to distinguish between them. If two periodicals have identical titles and both have no subtitle the cards are arranged by issuing agency.

      The Commonwealth. (Dept. of Trans.) (periodical title)
      The Commonwealth. (Library of Congress) (periodical title)
      The Commonwealth; a monthly magazine (periodical title)
      The Commonwealth. (book title)

8. Editions

   a. If the author and title on two cards are identical, file the earliest edition first, using as a guide the imprint or publishing date.

   b. If there is more than one card for the same edition check the lower left corner of the card to see if it is a replacement card (see example, pg. 9). If it is not a replacement card there may be a problem in which case the conflicting cards should be paperclipped together so the reviser will know they must be pulled for correction.

9. Location

   a. If a card has "Micro-fiche" in the call no., it is filed behind a card with identical information, representing a paper copy edition.

SECTION 4

CARD CORRECTION PROCEDURES

I. General Information

A. At the time of the correction, the card going through for keypunching will be marked with the correct replacement card code at the bottom of the left-hand corner of the card by the person making the correction.

1. If the computer card to be corrected is blank in the replacement code space, the code used will simply be "R". Subsequent corrections of the card will carry the codes "R2", "R3", etc.

B. Always make changes on the shelflist card

1. If the shelflist card is missing, wait up to six weeks for it to reappear. If a change must be made sooner, or if the shelflist never shows up, place a temporary card in the shelflist and make corrections on another card from the set.

C. If the new cards which will be produced will not file in the same places in the public catalog as the existing set of cards (e.g. change in main entry or title) it is the responsibility of the person initiating the card correction to have either those cards which will not automatically be replaced or the entire set of old cards pulled and discarded.

D. Extensive changes

1. It is always preferable to change an existing computer record than to delete it and create a new record. If at all possible, changes should be written on the shelf list card, even if it becomes necessary to use the back of the card.
2. If it becomes too confusing to make changes on the card itself, use a cataloging worksheet and attach the card to be corrected to it. Be sure to write the ID number appearing on the old card on the worksheet.
   a. Fill in only the fields you wish to change, and cross out the corresponding fields on the computer catalog cards.
3. In the Notes Area, and other areas where there are multiple fields, it is often important to have information appear in a particular order on the card. In these cases, whether using

the card, a worksheet, or a combination of the two, number the elements sequentially, as you wish them to appear (e.g. 13, 14, 15, etc. in the notes area) regardless of the order in which they appear on the old card set.

E. If the main entry has a abbreviation in it such as Dept. or Adm., modify the abbreviation to a full spelling of the word. An explanation of the modify procedure is on the next page, Sec. 4.II.C1-4.

Food and Drug Adm.
M101 m.:ministration.:

Dept. of Education
M101 t.:artment:

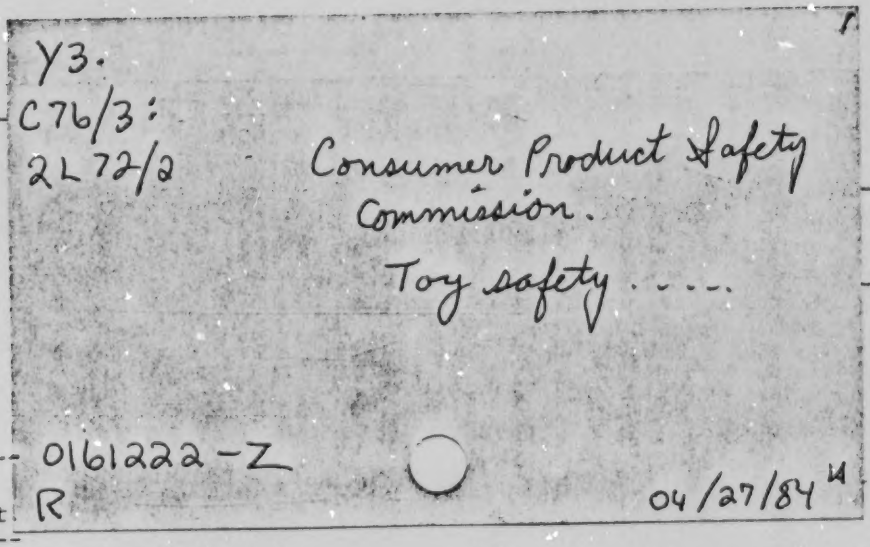
F. If "GPO," appears in the imprint (06) field, it should be removed by changing the imprint field as exemplified below.

C106 ><

II. Correcting Catalog Records on Computer Catalog Cards

A. Make a colored temporary card to file in the shelf list which includes the following information.

1. Call no.
2. Brief author and title.
3. Volume or part information (if necessary).
4. ID number and replacement code in lower left hand corner.
5. Date and initials of person making the change in the lower right hand corner.



Call number----

----Issuing agency

----Short title

I.D. number---

Replacement code--------

---Date and catalogers initials

B. To make a change in any field, mark "C1" and the field number to be changed followed by the revised information.

Example: change to call no. (field 95)

PREX42.19/6:908

C195 PrEx42.19/6:980

change to main entry (field 01)

Census Bureau.

C101 Bureau of the Census.

C. If only a small change needs to be made to a field, it is possible to "modify" the one small section rather than having to redo the entire field. Use the modify code "M1" and the field number followed by the information in the following format:

Error:Correction:

Example: modify main entry (field 01)

National Statsitics Service.

M101 si:is:

1. When modifying a field it is important to record information exactly as it appears in the sequence; this includes spaces, which are indicated by the symbol, "^".

5^(1890):5^(1980):

2. Instructions for proper formatting of the modify sequence.

a. Locate the unique alphabetic or numeric sequence around the error to be corrected.

b. Write out that sequence and follow it with a colon.

c. Write out the correct alphabetic or numeric sequence.

d. Close the corrected segment of letters or numbers with another colon.

Example: E1.113:13/13/980 error in call no. (field 95); the third 3 should be a 5.

3 is not unique

13 is not unique

13/ is not unique

however,

/13 is a unique group

M195 /13:/15:

3. In cases where a : (colon) is actually part of the field information to be changed, another symbol must replace the: used to signal the computer that a modification to a field is needed. This symbol is #.

:#ERROR#CORRECTION#

For instance, in the call no. A13.13:A13, A13 following the colon needs to be modified to A15. Because A13 already appears in the call no. the colon : must be used to make the second A13 a unique character group. The proper modification would appear as follows

:#:A13#:A15#

4. Multiple modify codes for a field can be used. The same formatting of field information as above is used. Each modify code for a field is numbered consecutively (e.g. M101 M201 M301 etc.)

D. Any field can be deleted from the record simply by using the delete code letter "D" followed by the number 1 and the field number. Also, draw a line through the field being deleted.

Example: The note "Holdings on shelflist card only" (field 14) is to be deleted because the cataloger has received information that the set is complete and we have all the volumes.

D114 ~~Holdings on shelflist card only.~~

E. A field can also be added if it does not already exist by using the code letter "A" followed by the number 1 and the field number.

Example: A new edition has arrived for which we already have cataloging on an earlier issue. A decision is made to make the item "current edition only". Thus, notes must be added to the existing record to reflect this.

A114 Revised editions issued periodically.

A115 Current edition only retained.

1. A field may be inserted at any place in a group simply by adding the field, using the field number desired.

   Example: Fields 14, 15, 16 already exist and you need to insert a field 14. Simply All4 (plus field information).

   a. If more than one field is being inserted, follow the above procedure. The computer will bump the already existing fields down into the next field.

SECTION 5

MULTIVOLUME SETS - CATALOGING AND PROCESSING

I. Processing multivolume sets

A. Multivolume sets are identified by a volume or part number at the end of the SuDocs classification number.

HH1.20:	D12.2:
C73/v.1	Au7/978/pt.3

B. When documents are received which have vol. or pt. numbers in the call no., the cataloger must check the shelflist to determine if the item has already been cataloged.

1. If the document is cataloged, add the new volume to the holdings which should already be recorded at the top of the card in pencil.
2. If there is a note at the top of the card stating: "Set complete in ___ vols., and the newly received item is the piece that completes the set, pull the shelflist and close out the card.
   a. Delete holdings note if we have the complete set, and erase penciled holdings.
   b. Complete imprint and collation information, if not already done.
   c. Update contents note, if necessary.

   (See Sec. 4, pg. 44-48, Card Catalog correction procedures for proper formatting and examples.)

C. If there is not "Set is complete in ___ vols." note at the top of the catalog card or if the item is not yet been cataloged, the cataloger should proceed with the following steps.

1. Check title page, verso, introduction and preface to determine how many volumes or parts there will be to the complete set.
2. If no information is given in the item itself, check OCLC to see if the item has been cataloged elsewhere with holdings information.
3. If nothing can be found on OCLC, proceed to cataloging the new item, but do not include the note about set completion at the top of the card.

II. Cataloging multivolume sets

(See cataloging worksheet example, pg. 52)
(See, if necessary, standard cataloging rules, Sec. 2, III, pg. 14-18)

A. Call no. (field 95)

1. Use "vols." and "pts." in the SuDocs classification number, but do not include actual volume or part numbers.

HH1.20:C73/vols. D12.2:Au7/978/pts.

B. Main entry, title, added title data - use standard procedures - Sec. 2, III, B-D, pg. 14-16.

C. Imprint (field 06)

1. Inclusive dates are recorded, if available.

1977-1980.

2. If the set is not complete, and inclusive dates are not known, leave the completion date open. This is indicated by four spaces and a period after the dash.

1980- .

D. Collation (field 09)

1. Record number of vols. or pts. in a complete set, when known.

4v. 15 pts.

2. Leave volume or part designation open if the number of the complete set is not known.

v. pts.

E. Notes (field 13-29)

1. If the set is not complete, or our collection does not include all items yet, use the following holdings note:

Holdings on shelflist card only

2. If each volume or part has a distinctive title use a contents note to record the titles.

a. Do not use contents notes if titles include:

dates only
letters of the alphabet only
extremely long titles
large number of volumes which would necessitate a great deal of future revising or take up a lot of space.

b. For contents note format see Sec. 2, III, G3, pg. 17.

F. Added titles (field 80-89)

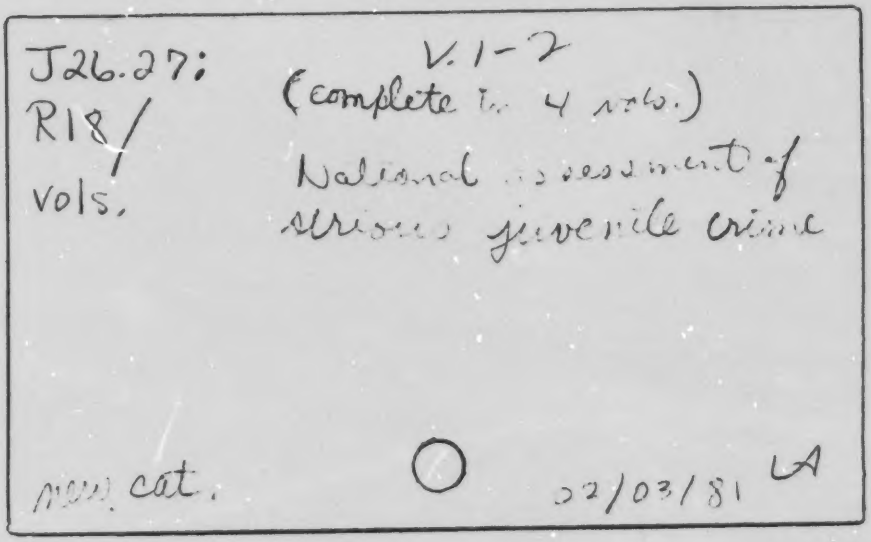
1. Do not include contents note titles in the added titles area.

G. Temporary Shelflist

1. After cataloging is complete a temporary shelflist must be made and filed immediately into the shelflist catalog.

a. Information on the shelflist includes:

1. call no.
2. short title
3. holdings information at the top
4. note on how many vols. complete the set, if known.
5. date of cataloging and cataloger's initials.



95 Documents Number

;J26.27:J98/vols.

01 Main Entry

Law Enforcement Assistance Administration.

04 Title

A national assessment of serious juvenile crime and the juvenile justice system:

05 Added Title Data

the need for a rational response.

06 Imprint (if other than GPO)

1980.

09 Collation

4v.

13-29 Notes

14. Holdings on shelflist card only
15. Contents: v. 1. Summary--v. 2. Definition, characteristics of incidents and individuals, and relationship to substance abuse.--

80-89 Added Titles

90-92 Series

57

Example of cataloging worksheet for a multivolume set.

--- SuDocs class. no. with "vols." for multivolume set.

Standard Main entry, Title, Added title data

--- Imprint - inclusive dates known

--- Number of vols. in complete set

--- Holdings note

---Incomplete contents note. (If necessary)

SECTION 6

NEW EDITIONS - PROCESSING

I. General Information

A. Editions in the Documents Collection constitute not only those publications which actually state they are later editions of a previous work or are radically revised and updated, but also those publications which have been only slightly revised or are simply reprints.

B. New editions are identified by the year of publication which is added to the end of the call number.

ED1.113:D73 (first edition)

ED1.113:D73/980 (later edition)

C. While titles of new editions may vary slightly from earlier editions, in most cases they will be the same.

II. Processing New Editions

A. Any item which has a year in the call number, and for which there is no Kardex, should be placed in the problems box.

B. Items in the problems box with years at the end of the call number must be checked against the shelflist catalog to verify if earlier editions have already been cataloged.

C. If earlier editions have been cataloged, check for a "Current issue only retained" note.

Revised editions issued periodically.
Current issue only retained.

1. If such a note is present, place a yellow shelving instruction sheet in the item, check off no. 1, CURRENT VOLUME ONLY RETAINED, and send the item to the stacks.

a. The shelver should retrieve the earlier edition(s), as well as any transmittals, changes, etc. which may accompany the earlier editions, from the stacks and give it to the Tech. Proc. supervisor along with the yellow instruction sheet so the earlier editions can be discarded.

D. If an earlier edition has been cataloged, but no "Current edition only retained" note is present, pull the shelflist card(s) for all previous editions.

E. Retrieve all earlier editions from the stacks.

F. When all available editions are collected, check content to decide whether to retain or discard early editions.

1. Discard.

a. Material, including maps, which is basically the same as earlier editions.

b. Later editions are cumulations of earlier editions.

c. Editions or revisions which supersede information of earlier editions.

2. Retain.

a. Information in each edition is substantially different.

b. Earlier editions have statistics useful for comparative purposes.

c. Earlier editions have historical or subjective value to the collections. Consult with Head of Documents.

d. CIA maps.

G. If a decision is made to retain earlier editions, pencil in at the top of the shelflist card for the earliest editions, "Retain later editions".

1. Refile all shelflist cards--catalog the latest item as a separate monograph.

H. If a decision is made to keep only the current edition, follow instructions listed below.

1. Mark all shelflist cards except the card for the latest cataloged edition for "Pull and Discard".

2. Circle the I.D. number and write "Delete" above it, for those records to be pulled and discarded.

3. Place the cards for Pull and Discard in the Pull and Discard box on the shelflist catalog.

4. Recatalog the remaining shelflist card.

(See instructions for Card catalog correction, Sec. 4, pg. 44-48)

a. Modify the call no. (95 field) by changing the numerical year, which will appear at the end of the call no., to

the literal abbreviation, "yr.", or by adding "yr." if no years are present.

ED1.113:D73/980 (numerical year)

ED1.113:D73/yr. (abbreviated year)

b. If GPO is in the Imprint Area (field 06), use the change code (C106) with the symbol >< to have it taken out.

1. If another publisher is present followed by a comma, modify the comma to a period. ,:.:

2. If an imprint date is present, delete it from the record by crossing it out and writing "D108" beneath the crossed out date.

(See instructions for Card Correction procedures, Sec. 4, pgs. 44-48).

c. Change pagination to include one of the following:

1v.--for a paged monograph.

1v. (looseleaf)--for a looseleaf edition.

pamphlet--for a flimsy item with no pagination.

map--for any type of map material.

d. Add the following notes in the 14 and 15 fields.

14. Revised editions issued periodically.

15. Current edition only retained.

e. If transmittals, changes, amendments, etc. are to be issued to update the edition also include a note 16.

16. Kept up to date with looseleaf (transmittals, changes, amendments, etc.).

f. Complete recataloging by putting in replacement code in lower left hand corner and date and initials in lower right hand corner.

g. Make a temporary shelflist card for the item and file it in the shelflist catalog.

I. If the item has not been cataloged, and it is stated in the item that revisions will be produced, and a decision is made not to retain later editions, catalog as a new item following instructions H, 4a-d above.

1. If a decision is made to keep later editions, see G above.

J. If the new item indicates it will be reissued on a regular basis (i.e. monthly, annually, biennially, etc.), catalog as a serial (see Sec. 2,V, Cataloging serials, pg. 21-28).

1. The above rule applies also to an item which has been previously cataloged as a separate edition. Use the latest edition shelflist card to recatalog as a serial. (see Sec. 4, Catalog card correction, pg. 44-48, if necessary). All earlier shelflist edition cards must be pulled, discarded, and deleted (see G, 1-3 above).

K. If the item has not been previously cataloged and there is no indication that future revisions or editions will be issued, catalog as a monograph.

SECTION 7

PROCESSING SERIALS

I. General Information

A. All serials should be processed through the Documents Serial Record. Individual issues of titles are checked into the Serial Record on separate kardexes. The format of the kardex will vary depending on the method of numbering individual issues of the serials.

B. Serials will usually have no cutter letter after the colon. Only a number or year or a combination of letters and numbers representing a series will appear after the colon.

A105.28:5

EP1.28:DOE/20015

ED1.113:980

II. Processing Cataloged Serials

A. If the call number and title match the appropriate kardex in the file, the number after the colon is entered on the kardex.

1. A check mark is penciled on the upper right hand corner of the cover, verifying that the issue has been checked in.
2. The checker adds it to the statistics for processed items.
   a. Each physical piece is counted as a separate item.
      1. Do not count transmittals, changes, amendments, etc. which are replacing other material.
   b. Serials going to the Central Serials Record are considered transfers on the statistics sheet.
3. The checker checks the bindery frequency note and bound holding to see if the item is ready for binding.
   a. If the item is ready to bind, put a binding notification slip (see example pg. 60) into the piece and place the piece in the "Retrieve for binding" box. The Bindery person will pull the unbound issues from the shelves and return them to the Documents Office to be processed for binding. (For binding procedures see Sec. 15.II.Serial binding, pg. 91-92).
   b. If there is no binding record the checker should put the issue in hand into the "Check for binding" box.

4. Processed items then go to the sorting shelves for placement in the Documents stacks (except for 3. above and appropriate numbers below.).
5. If the item is already entered on the kardex, it goes into the "duplicates" box.
    a. When this box is filled, a student assistant then takes them to the stacks to determine if there actually is another copy on the shelf. The student assistant should also check the circulation file to see if the item is checked out.
        1. If there is a copy already in the stacks, replace it with the copy in hand, in case the more recent may be a corrected copy, and discard the earlier copy.
6. If the serial has a yellow kardex which states:

    FOR HOLDINGS SEE CENTRAL SERIALS RECORD

    Put the item in the "Serials" box.
7. If the kardex states that the item is for DOC REF, place a DOC REF sticker on the spine.
8. If the kardex states that "current year only" is retained, or that the latest volume is in DOC REF, insert a yellow shelving instruction sheet with the proper category checked so the old volumes will be retrieved. (see example, pg. 7).
9. If the kardex states, "Place in vertical file", place the item in the "Vertical File" box.
10. If either the call number, the title, the numbering or anything about the serial does not seem to match the kardex properly, place the serial in the "Problems" box. If the problem is not obvious it might help to attach a note stating what the problem is.
11. If there is no kardex for the call number of the item, place it in the "Problems" box.

III. Processing Serial Microfiche.

A. Serial microfiche are processed in the same manner as paper serials with the following exceptions.
    1. Always use a green pencil or pen to check in microfiche in order to distinguish the microfiche from the paper copy material.

2. A check mark is made at the lower left hand corner of the microfiche packet, verifying that the item has been checked in.
3. Checked in microfiche go to the microfiche cabinets for filing.
4. Some microfiche series (i.e. E1.28:) are not checked in. They go directly to the microfiche filing cabinet. A note in the kardex will identify such series.
5. Microfiche without kardexes go into the "Problems box.

IV. Searching Serials in the Problems Box.

A. All items from the problems box are arranged in call number order.
B. Check the shelflist catalog to see if cataloging records are available for the item in hand.
   1. If the item proves to be an edition problem instead of a serial problem, see Sec. 6, Processing New Editions, pg. 53-56.
C. If a shelflist card(s) is found, pull it, place it in the document and set it aside for further processing.
D. If no shelflist is available, check the author/title catalog for author and/or title cards.
   1. If author or title cards are present, copy the call no. lightly in pencil on the cover and return to the shelflist to pull the card matching the conflicting call no. Place that card in the item and set aside for further processing.
E. If no cards are found in the author/title catalog, return to the Documents Office for original cataloging.

V. Processing New Serials

A. Instructions for cataloging of new serials are available in Section 2.V.Serials Cataloging, pg. 21-28.
B. Check "Item Selection Printout" if the item number is known to make sure it is something we keep.
C. Setting up a new kardex. (See example, pg. 61-62).
   1. Call number--upper and lower left hand corners.
   2. Item number--upper left hand corner.
   3. Docex--entered only if the serial is received only through Docex.
   4. Frequency--enter only if known.

5. Binding frequency--no. of issues to be bound. If not to be bound, enter, "DO NOT BIND."
6. Bound holdings--Entered prominently at top center of kardex (this may vary depending on the age of the kardex.)
7. Agency/title--begins 4 spaces after the end of the call number, running along the bottom and working upward when more than one line is necessary. Agency is typed first, followed by a period-slash-space (./) and then the title.
8. Number or year on the issue in hand is entered in pencil in the proper place on the kardex.
9. The new kardex is placed in the "Kardex to be filed" box.

Example:

Retrieve for Binding Form

RETRIEVE FOR BINDING

CALL NO.

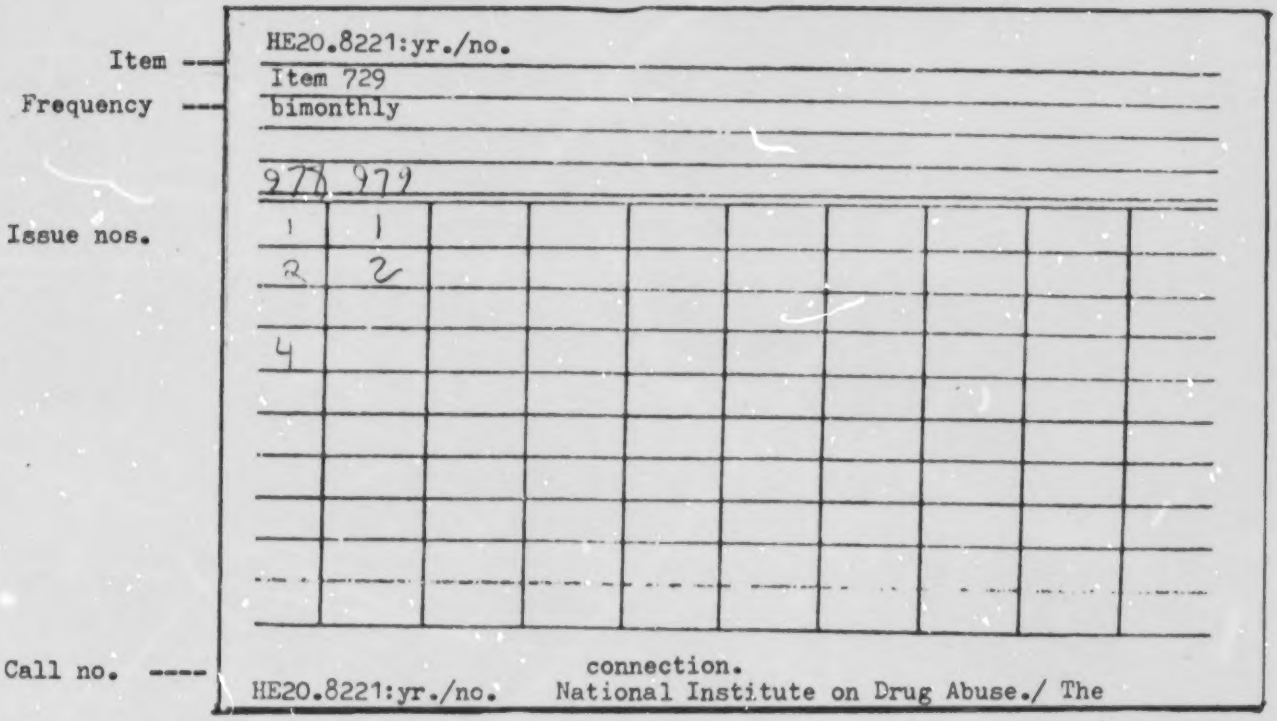
TITLE:

Documents serial records indicate this document is ready for binding.

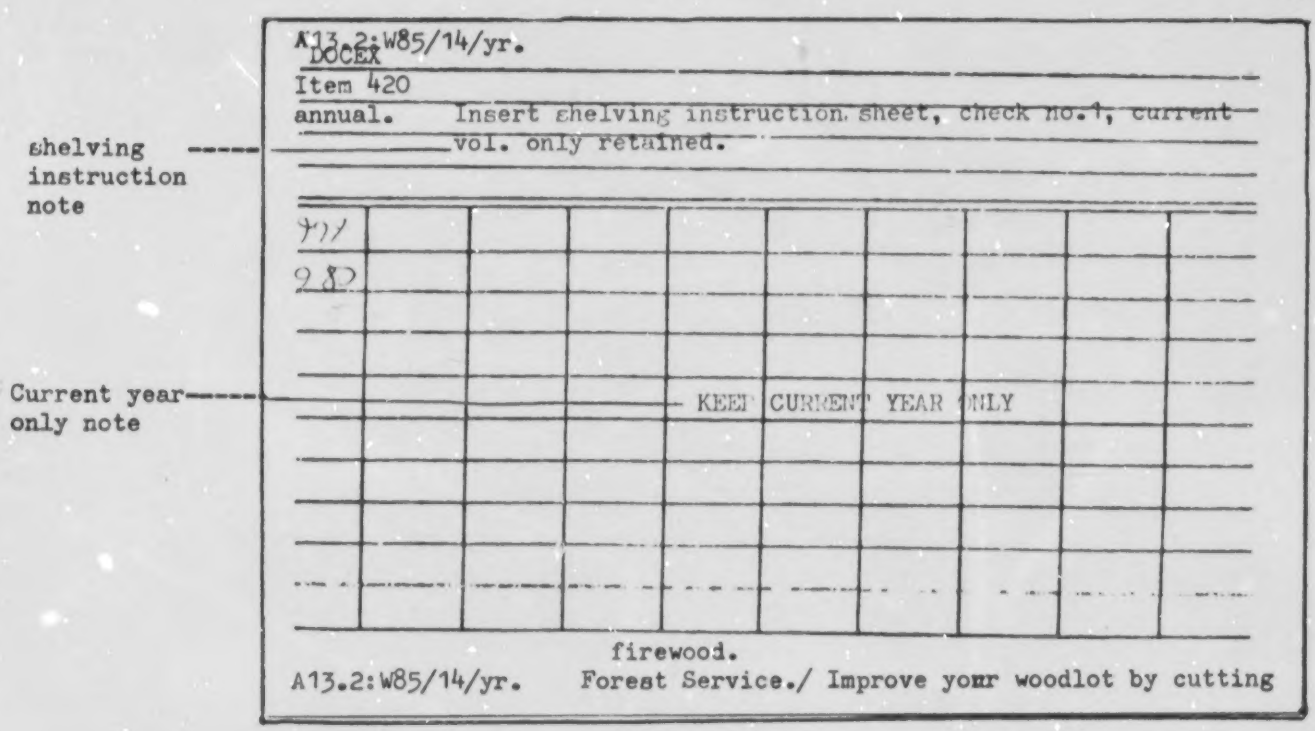
Return ALL unbound issues of this publication to the Bindery desk in the Documents Office.

65

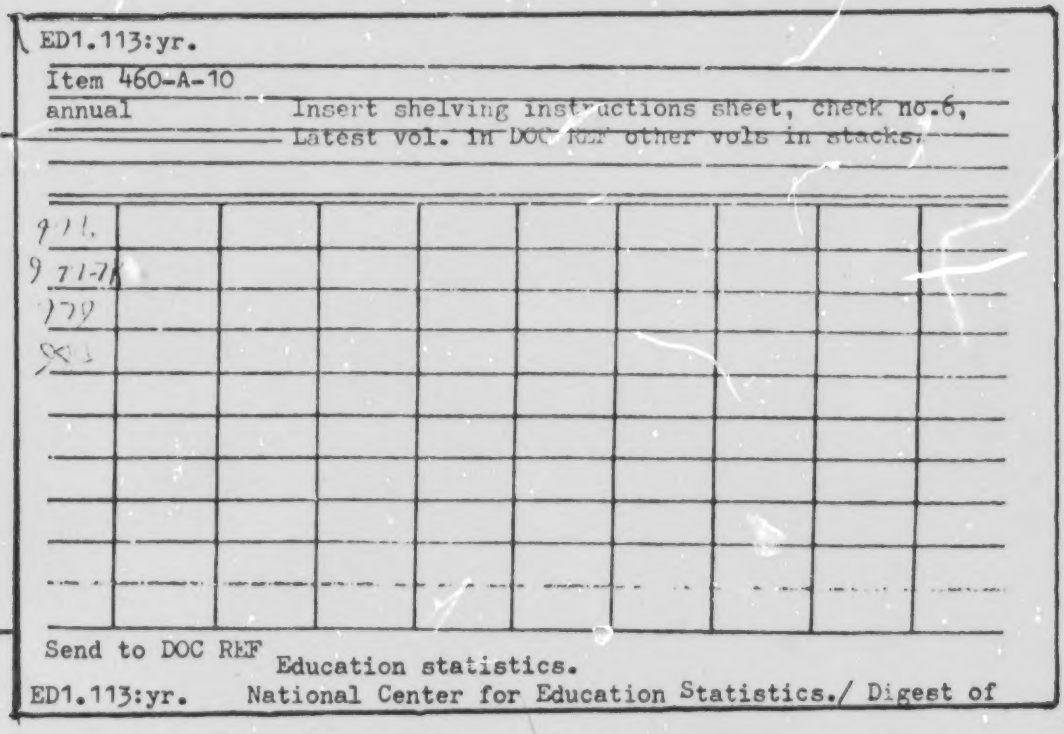
Regular kardex



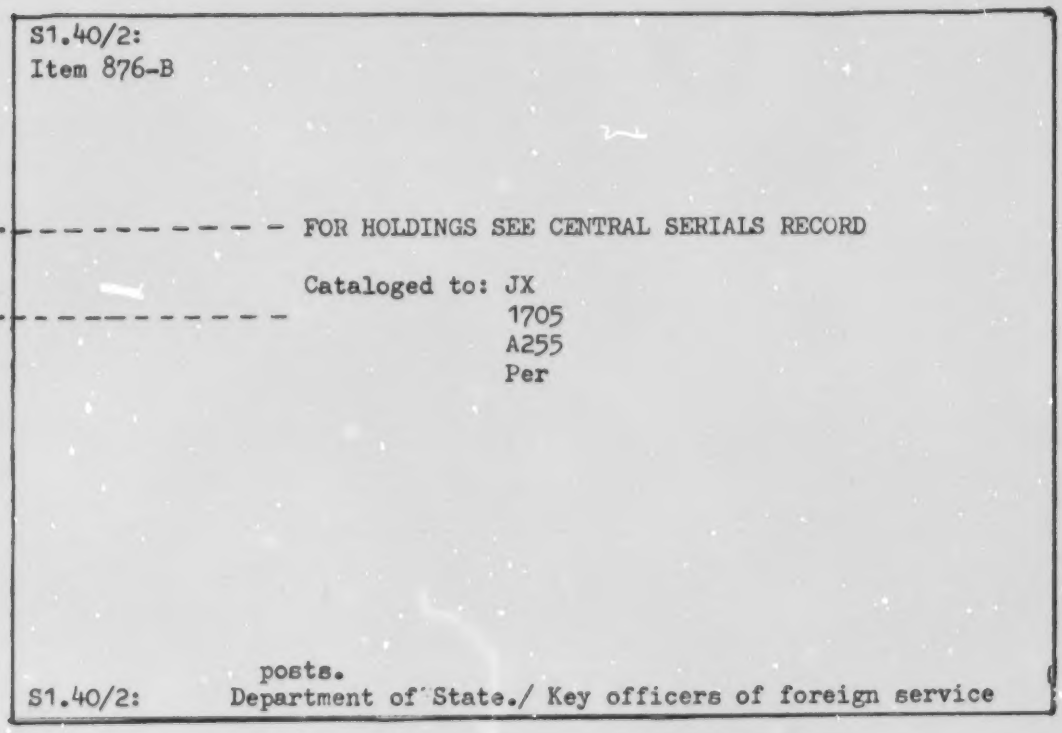
Kardex for Current Year Only


shelving instruction note
Current year only note
A13.2:W85/14/yr.
DOCEX
Item 420
annual. Insert shelving instruction sheet, check no.1, current vol. only retained.
KEEP CURRENT YEAR ONLY
A13.2:W85/14/yr. Forest Service./ Improve your woodlot by cutting firewood.

Kardex for Documents Reference


ED1.113:yr.
Item 460-A-10
annual
Insert shelving instructions sheet, check no.6,
Latest vol. in DOC REF other vols in stacks.
shelving instruction note
Send to DOC REF note
Send to DOC REF
Education statistics.
ED1.113:yr. National Center for Education Statistics./ Digest of

Kardex for Central Serials Record



VI. Closing out a catalog record and kardex.

A. For basic information for correcting and updating information on a catalog card, see Sec. 4, pg. 44-48, Card Correction Procedures.

B. For proper format and style for separate catalog fields, see Sec.2, V, pg. 21-28, Serials cataloging.

C. Whenever a shelflist card is removed from the shelflist catalog, a temporary shelflist card must be filed in its place.

D. A catalog record is closed out when:

a title ceases publication.

the title and numbering of the publication change.

the agency, and therefore, the class number change.

media changes from paper to microfiche.

E. When closing out a card, all information on the card should be checked for correctness. However, the following fields must be changed or updated.

1. 05 field. Fill in all available bibliographic information.
2. 09 field. Fill in volume information, if available.
3. 13 field. Eliminate the note, FOR HOLDINGS SEE DOCUMENT SERIAL RECORD, by entering the symbol >< as a change. (C113 ><).
4. If holdings are incomplete, list what is available on the shelf in field 14.

Holdings: 1-3 (1975-1977) 5 (1979)

a. If issues of volumes are missing, include what issues the library holds under the holdings note. Incomplete volumes are identified by brackets.

Holdings: 4-(7)-(9) (1972-1977)

Incomplete vols: 7N1-4 6 9-12 (1975) 9N2-9 11-12 (1977)

b. If there are many gaps and listing the holdings would be extremely complicated, use the following note:

Holdings: scattered

5. If the title is being continued or superseded by another title, insert a "continued by" or "superseded by" note as the last note.

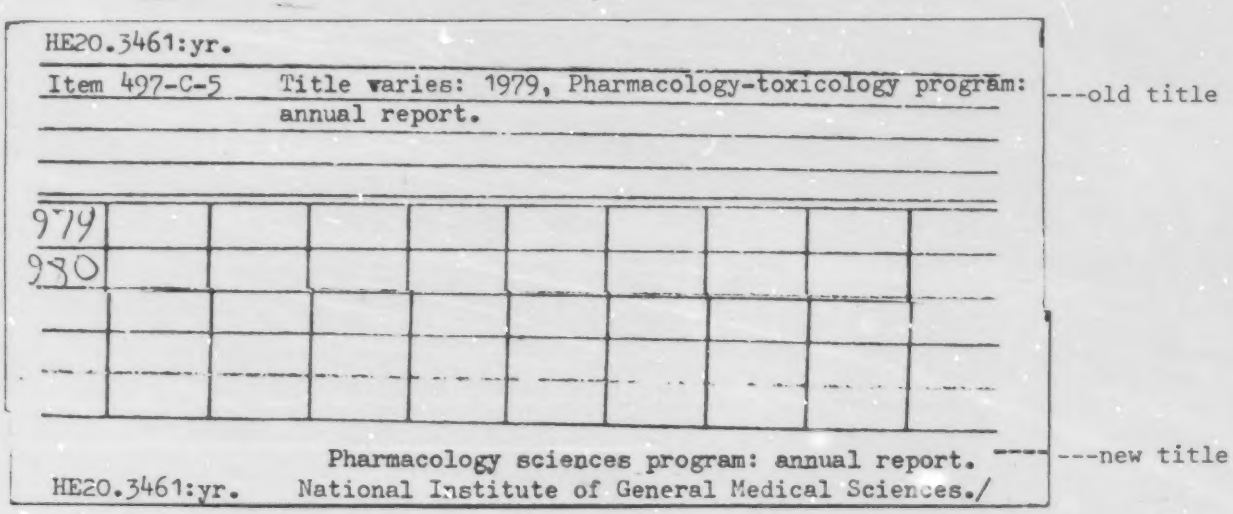
F. Remove the old kardex from the Documents Serial Record, type the date and reason why the publication ceased at the top of the kardex and file it in the dead file.

VII. Processing Title Changes

A. If the call number remains the same, and only the title changes, a "Title varies" note is used on the catalog record. (See Sec.2,V,G.7.b, pg. 23).

B. Take the kardex with the old title out of the Documents Serial Record and type the title varies note at the top of the kardex.

C. White out the old title and type in the new title. Place the updated kardex in the "Kardexes to be filed" box. (See example following.)



D. Change the title on the item card if the item number is available.

VIIII. Title and Numbering Change.

A. If the issue numbering as well as the title changes, a new record must be created, even though the SuDocs number remains the same.

B. Close out the old catalog record and kardex (see Sec.7,VI, pg. 63, Closing Out a Catalog Record and Kardex), using a "superseded by" note as the linking note.

C. Create a new catalog record (Sec.2,V,pg. 21-28, Serials Cataloging) and kardex (Sec.5, V,C,pg. 59-60, Setting Up a New Kardex).

D. Change the title on the item card if the item number is available.

IX. Agency Changes.

A. Close out the old catalog record and Kardex (See Sec.7, VI, pg. 63, Closing Out a Catalog Record and Kardex).

1. Use a "Continued by" note as the linking note.

B. Create a new catalog record and kardex (see instructions for VIII, C, above).

C. Change the SuDocs number on the item card if the item number is available.

X. Cessations.

A. If a serial is known to have ceased publication, the record for that serial must be closed.

1. If issues of a title have not been received for 5 years, it can be assumed that the title has ceased publication.

2. Verify beforehand that there has been no SuDocs number change.

a. Check Androit, Monthly Catalog.

B. Pull the shelf list and place a temporary replacement shelf list in the file.

1. Close out the catalog record according to VI, A-E above.

C. Close out the kardex, adding a note at the top of the kardex stating that the publication is believed to have ceased along with the date of the decision. (See instruction IX,A, above).

D. File the kardex in the "Dead File".

SECTION 8

CONSOLIDATION OF HOLDINGS ON KARDEX CARDS

I. Use blank white cards for recording holdings. (For examples, see pg. 67-68).

II. When revisions are issued for individual numbers, use the following notes two lines down from the top of the card.

Revisions issued periodically.

Current revisions only retained.

Insert shelving instruction sheet, check no. 1, current vol. only retained.

III. Type the word HOLDINGS: two lines below the revision notes. If no revision notes are necessary, type the HOLDINGS: line eight lines down from the top of the card to allow room for those notes if they become necessary.

IV. Two lines below HOLDINGS: type "Bound:" and record any bound holdings notated on the kardex. If issues are missing, type "lacks" and all missing issues on the line below the bound holdings.

V. Two lines below the bound holdings, type "Unbound:" and record all numbers up to the latest check-in card.

A. Gaps in unbound holdings are represented by two spaces between numbers.

VI. If supplements accompany some numbers, type "Supplements:" two lines below the unbound holdings and record them as they are recorded on the kardex.

A. Record Summaries, Added parts or volumes in the same manner. Be especially careful not to confuse numbered revisions with added parts or volumes.

VII. Do not record errata, transmittals, corrections, or changes. Kardexes which note reception of these items should be given to the Tech. Proc. Supervisor.

VIII. Type classification number, author and title at the bottom of the card.

IX. Type "For earlier holdings see the card beneath this one" on the latest check-in card.

X. Discard old holdings cards after their contents have been transferred to the new complete consolidated holdings card.

XI. See Tech. Proc. Supervisor for any problems or exceptions.

ORIGINAL KARDEX

Item 15 U S.D.A.
A 1.34: Statistical Bulletins

501-

1	11	21	31	41	51	61	71	81	91
2	12	22	32	42	52	62	72	82	92
3	13	23	33	43	53	63	73	83	93
4	14	24	34	44	54	64	74	84	94
5	15	25	35	45	55	65	75	85	95
6	16	26	36	46	56	66	76	86	96
7	17	27	37	47	57	67	77	87	97
8	18	28	38	48	58	68	78	88	98
9	19	29	39	49	59	69	79	89	99
10	20	30	40	50	60	70	80	90	00

A1.34 USDA Statistical bulletins 501- F-3

CONSOLIDATED HOLDINGS KARDEX CARD

Revisions issued periodically.
Current revisions only retained.
Insert shelving instruction sheet, check no.1, current vol. only retained.

HOLDINGS:

Bound: 1-589
lacks, 528 550

Unbound: 590-600+

Supplements: 522(1973 1975-76 1979) 525 530-531 535(1978) 547
548(1-5) 552(1978) 557 576

Summaries: 527 531

A1.34:no. Department of Agriculture./ Statistical bulletins.

Item No.9 U.S.D.A.
A 1.9: Farmers' Bulletin
Bound: 1-2075 (639-F)

2000

1	11	21	31	41	51	61	71	81	91
2	12	22	32	42	52	62	72	82	92
3	1								
4	1								
5	1								
6	1								
7	1								
8	1								
9	1								
10	2								

A 1.9:
U.S.D.A. Fa

Item No.9 U.S.D.A.
A 1.9: Farmers' Bulletin
Bound: 1-2075 (639-F)

2100

1	11	21	31	41	51	61	71	81	91
2	12	22	32	42	52	62	72	82	92
3	13	23	33	43	53	63	73	83	93
4	14	24	34	44	54	64	74	84	94
5	15	25	35	45	55	65	75	85	95
6	16	26	36	46	56	66	76	86	96
7	17	27	37	47	57	67	77	87	97
8	18	28	38	48	58	68	78	88	98
9	19	29	39	49	59	69	79	89	99
10	20	30	40	50	60	70	80	90	00

A1.9:
U.S.D.A. Farmers' Bulletin 2100- F-3

CONSOLIDATED HOLDINGS KARDEX CARD

Revisions issued periodically.
Current revision only retained.
Insert shelving instruction sheet, check no.1, current vol. only retained.

Holdings:
Bound: 1-2075

Unbound: 2076-2200+

A1.34:no. Department of Agriculture./ Farmers' bulletin.

SECTION 9

PROCESSING MICROFICHE

I. General Policy

A. A student assistant checks in and files microfiche whenever possible.

B. If a microfiche copy is received, and we already have a paper copy edition, a decision must be made to retain or discard the paper copy.

1. Specific Instructions are listed below in III.B. for monographic microfiche and IV.C-D for serial microfiche.
2. Items to be retained in both formats include the following:
   a. Census material
   b. Material which is in great demand and/or which is likely to turn up missing.

II. Initial Processing of Microfiche

A. All microfiche are first counted for statistical purposes.

1. Count each package of microfiche as one title.
2. Count each fiche in the package separately.
3. Enter both figures in the Statistics Book.

B. Check microfiche titles against titles listed on the shipping lists.

1. If the fiche title matches a title on the shipping list, write the number of fiche in the package on the right hand edge of the SuDocs class number line.

C. When all packages for the shipping list have been checked off, any items not received must be checked in the Item Selections book to determine if we should or should not be receiving these items.

1. If we have not selected to receive the item (an "N" will appear next to the item no.), draw a vertical line through the item number to indicate that we do not receive material with that item number.
2. If we are supposed to receive the item (a "Y" will appear next to the item number in the Item Selections book), write "Y" next to the item number on the shipping list so the Initial Processor will know the document must be claimed from GPO.

3. Give all completed shipping lists to the Technical Processing Supervisor who will check them for special notes or possible problems.

III. Sorting Microfiche

A. Microfiche are separated into serial and monographic groups when received for processing.

B. Monographic microfiche are placed in the "Fiche/Mono" box for cataloging.

C. Serial microfiche go to the kardex file for further processing.

1. For information on distinguishing a serial from a monograph, see Sec.3.II, SuDocs Classification System, pg. 35-36.

IV. Monographic Microfiche

A. New monographic microfiche are cataloged in the same manner as monographs issued in paper. (see Sec.2.III., Monographic Cataloging, pg. 14-18).

B. If it is discovered, when revising in the shelflist catalog, that a set of cards exists for a paper edition, a decision must be made whether to retain or discard the paper edition.

1. Paper hearings are always retained over microfiche hearings.

2. If a decision is made to discard the paper copy, the catalog cards for the paper copy must be pulled and discarded and the ID number deleted from the data base.

V. Serial Microfiche

A. Serial microfiche are checked in on kardexes in the Documents Serial Record file, using a green pen or pencil in order to distinguish microfiche from paper copy material.

B. If the microfiche replaces a paper issue, the student assistant shall attach the fiche and the kardex to a yellow shelving instruction sheet, checking off no. 7, "microfiche to replace paper copy", and place it in the problems box.

C. If a decision is made to discard the paper copy, the pencil notation for the item on the kardex is erased and replaced with a green pencil notation for microfiche.

D. If a microfiche item is received and all items previously received were in paper, the kardex and the fiche are placed into the problems box.

E. The Documents Cataloger updates the catalog and kardex records to include the microfiche note

"Some numbers issued in microfiche."

F. If it can be ascertained that the title will only be issued in microfiche (note on shipping list, administrative notices, pattern of reception, notation in List of Classes of U.S. Government Publications, etc.) pull the kardex, attach a note to the kardex: "Issued only in microfiche", and place it in the problems box for recataloging.

1. Close out the paper copy record. (See Sec. 4. Card Correction Procedures, pg. 44-48).
   a. Include a linking note to the new microfiche catalog record.

      1980- issued only in microfiche.
2. Create a new record for the microfiche. (See Sec.2.V. Serial Cataloging, pg. 21-28).
   a. Include a linking note to the closed out paper copy record.

      1960-1979 issued in paper copy.

SECTION 10

PROCESSING MAPS

I. Write the SuDocs classification number on the upper left hand corner of printed side of the map.

   A. If the map is a large sheet, roll it up from the bottom of the map with the map facing out.

II. Stamp "Morrill Library Map Room" beneath the SuDocs call number.

   A. See criteria for map distribution, Sec.2.VIII.A.2, pg. 33.

III. Stamp U/Mass government documents date stamp on the upper right hand corner of the back of the map.

IV. Check kardex to see if the map is part of a serial set.

   A. If a kardex is present, check in the map and send it to the Morrill Library Map Room.

V. If no kardex is present, and only a single cutter appears after the agency number, catalog as a monograph (see Sec.2.VIII. Map cataloging, pg. 33-34).

VI. If no kardex is present and a year, part number, or other quadrant identifier appears after the cutter, place the map in the problems box.

   A. If a shelflist card is present, follow instructions on the catalog card.

      1. If card says "Current map only retained", insert yellow shelving instruction sheet, check no. 1, current vol. only retained, and send to Morrill Library Map Room.
      2. If the card says "Holdings on shelf list card only" add part no. to the top of the card in pencil and send map on to Morrill Library Map Room.

   B. If no instructions are present, the card must be updated to include appropriate instructions.

   C. If the map has a year designation and another card(s) is present but no "Current map only retained" notes appear, all earlier cards must be pulled, discarded and deleted, and the latest card updated to include proper notes (see Sec.2.VIII. Map cataloging, pg. 33-34).

   D. If the map fits the criteria for retention of earlier editions (see II.A. above), the item should be recataloged as a serial or a penciled note "Retain later editions" must be written at the top of the first shelflist card of the group.

E. If no shelflist card appears, catalog as a serial, series, or "Current map only retained" item. (see Sec.2.VIII.Map cataloging, pg. 33-34).

VII. After the map has been cataloged or processed according to the method indicated by previous cataloging, send the map on to the Morrill Library Map Room.

SECTION 10A

TRANSFERRING MAPS TO MORRILL MAP ROOM

I. Collect all maps within the class number to be transferred.

II. Check map against shelflist.

A. Paper clip shelflist cards to indicate missing maps.

B. After inventory is complete pull the paperclipped cards and initiate search procedures.

C. If, after 6 weeks, the maps have not been found, try to obtain replacements from DOCEX.

1. If the map is earlier than 5 years from current date, withdraw from the collection.

III. Set aside any maps which have no shelflist.

A. Check public catalog for author/title entries.

1. If author/title entry is found, order a new shelflist to file.

2. If no author/title entry is found, catalog as a new item.

IV. Discard maps which have been revised by later editions.

A. Pull and discard and delete cataloging for earlier editions.

B. Add appropriate edition notes to catalog card of latest edition and update the rest of the card as necessary.

14. Revised editons issued periodically.

15. Current edition only retained.

V. Add the following to all shelflist cards as the first note.

Located in MORRILL LIBRARY MAP ROOM

VI. Stamp "MORRILL LIBRARY MAP ROOM" on the map beneath the SuDocs number, which should appear in the upper left hand corner of the map.

VII. Send updated shelflist cards to Information Processing for keypunching.

VIII. Send processed maps to Morrill Library Map Room.

SECTION 11

PROCEDURES FOR OVERSIZED DOCUMENTS

I. Documents which are too large to fit on a regular shelf shall be designated "Folios".

II. Oversized documents shall have the location/size identifier, "Folio", placed at the end of the SuDocs classification number on the document and cataloging record.

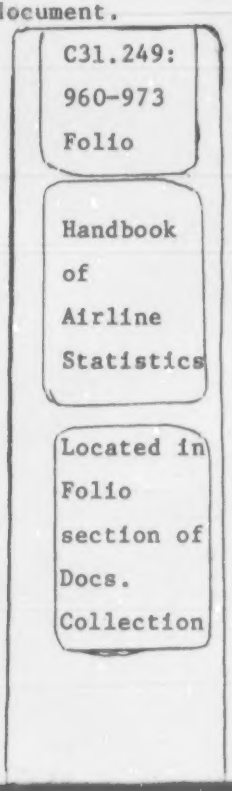
   A. These documents shall be housed at the end of the SuDocs classed federal documents collection where they can be placed on shelves wide enough to accomodate them.

   B. The "Folio" section shall be arranged in SuDocs classification number order.

III. The location/size designator, "Folio", shall also be placed at the end of the SuDocs classification number on the catalog card. Because it is not part of the SuDocs classification number, no slash shall separate it from the rest of the SuDocs number.

E3.2:
O15/9
Folio

IV. A dummy book shall be placed in the Documents Collection where the document would ordinarily be placed with a reference to the Folio location of the oversized document.



SECTION 12

PROCESSING NON-GPO/FUGITIVE DOCUMENTS

I. Receiving Non-GPO Documents

A. Non-GPO documents are those documents which have been issued by the government, but which have not been cataloged/classified by GPO.

B. Non-GPO documents usually arrive in the Documents Dept. from the Documents Expediting Project (DocEx), direct from a government agency, or as gifts from patrons.

C. Fugitive documents are those documents which after a period of time and searching never appear in the Monthly Catalog or other major bibliographic search tools and, therefore, must have original cataloging and classification.

D. When Non-GPO documents arrive, a documents assistant stamps the date of reception on the front cover and places a Document Search/Appraisal Slip into the document. (See example, pg. 78).

II. Searching Non-GPO Documents

A. Initial Search.

1. Search the Documents Dept. author/title catalog to determine if the document is already part of the documents collection as a monograph or part of a series that needs to be checked in at the Documents Serial Record.
2. If nothing is found in the documents author/title catalog, search the OCLC data base to see if GPO has cataloged and classified the item.
3. If no SuDocs classification number can be found, place the document on the Appraisal Shelf in the Documents Office so that other members of the documents staff can assess the document's value to the collection.
   a. If a document is deemed inappropriate for the documents collection, it is sent to Collection Development.

B. Final Search.

1. After a period of six months from the date of the initial search, a final search is done to determine if a classification number may have appeared since the previous search.

a. Follow steps II.A.1-3 above.

b. In the final search also use CIS and ASI indexes as appropriate.

2. If no classification number is found after the final search, the document is declared a fugitive document for which original cataloging and classification must be provided.

III. Cataloging/Classifying Fugitive Documents

A. Fugitive documents are cataloged as any regular GPO monograph, serial, hearing or committee print (See Sec.2, Documents Cataloging Rules, pg. 8-34).

B. Fugitive monographs and serials are classified according to GPO's system which was presented first in GPO Administrative Notes (AN-v5n1-1/84) and which is reproduced below.

POLICY FOR LOCAL SUDOC NUMBER ASSIGNMENT

GPO reserves the following numbers for local use only:

After General pubs. classes ending in .2 or 2 the numbers /2-9 will be reserved.

e.g. A 1.2: General publications
A1.2/2-9: Reserved (local use only)

After General pubs. classes ending in /2 the numbers-2 to -9 will be reserved.

e.g. Y3.Ap4/2 Reports and publications
Y3.Ap4/2-2-9: Reserved (local use only)

C. The Cutter letter is determined by the first word of the title, disregarding articles.

D. Use C.A. Cutter's three-figure author table to determine the cutter number.

1. Do not use more than two digits in the cutter number.
2. Check the shelflist catalog before final assignment to ensure that there will be no duplicate numbering.

E. If a conflict arises because certain cutter numbers have already been used, add a / and sequential numbering from 2 onward to the number which allows the best alphabetical filing of the title in relation to the other titles.

F. Original classification of committee hearings and prints is accomplished according to instructions presented in Sec.2.IV.J, Original Classification of Hearings and Prints, pg. 20-21.

DOCUMENT
SEARCH/APPRAISAL SLIP

Final Search Data: _____
(6 months after
initial search)

INITIAL SEARCH: DATE: _____

DOCUMENTS PC _____

OCLC _____

OTHER _____

NOTES:

FINAL SEARCH: DATE: _____

DOCUMENTS PC _____

OCLC _____

CIS _____

ASI _____

OTHER _____

NOTES:

APPRAISAL:

RETAIN: R
RETAIN/DOC REF: R/DR
DO NOT RETAIN: NO

SECTION 13

PROCEDURES FOR RESOLVING CLASSIFICATION CONFLICTS

I. Different Publications with the Same Classification Number.

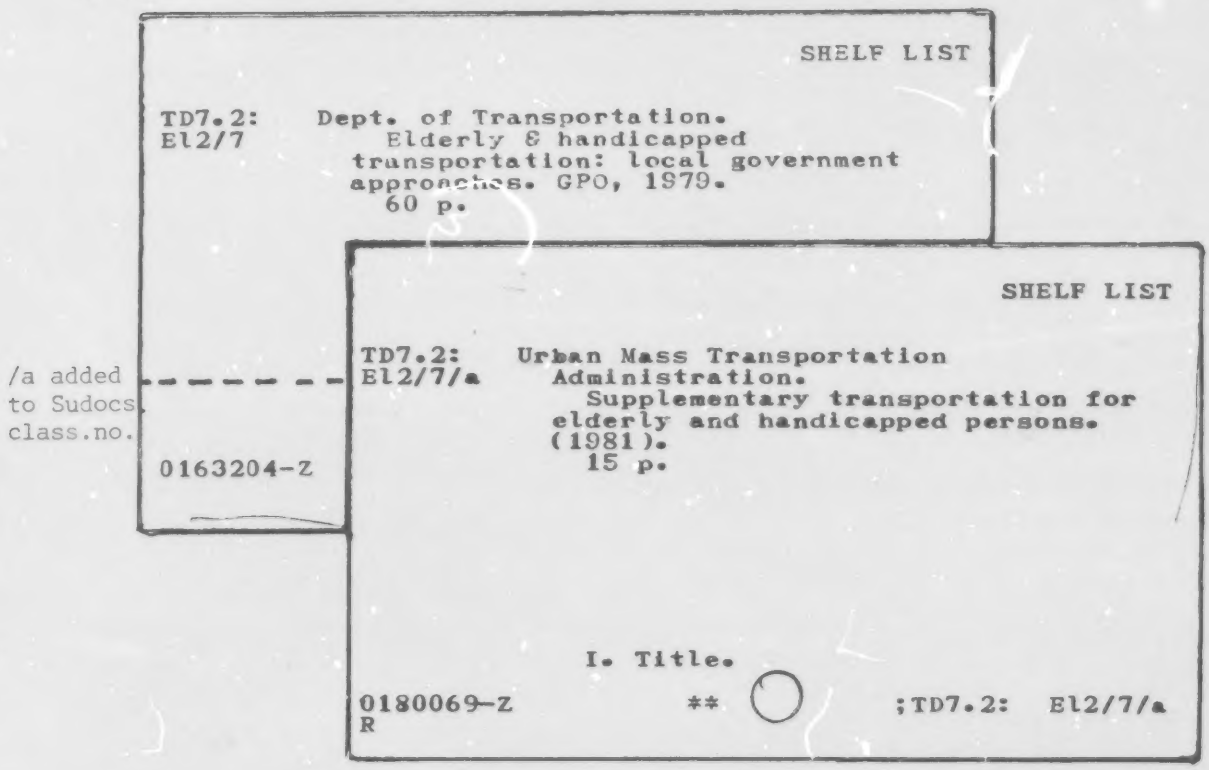
A. Pull shelflist cards and retrieve the pieces from the stacks.

B. Check shipping lists and Monthly Catalog or GPO's Publications Reference File (PRF) for a confirmation of the conflict.

1. If the conflict is caused by a copying error on the cover, write the correct class. no. on the cover and update the corresponding shelflist card as appropriate.

C. If the conflict is legitimate, fill out a Depository Library Request for Information form (see example on pg. 82), and send it to the GPO offices in Alexandria, VA.

D. Revise the SuDocs class. no. of the later publication by adding a "/a" at the end of the cutter.



E. Add the /a to the end of the SuDocs class. no. on the corresponding document.

1. Use a pencil so that when the corrected number is received the /a can be erased and the correct cutter addition can be added.

F. Note: Because decisions on class conflicts take varying periods of time to be resolved at GPO, the temporary revision of the class. no. is made to allow the publication to be available for use by patrons while a decision is pending.

II. Identical Publications with Different Classification Numbers. (see example below).

A. Pull all catalog cards and retrieve the pieces from the stacks.

B. Search all reference sources to determine if an error has been made in copying the class. no. onto the cover of publication.

1. If the conflict is caused by a copying error, discard the incorrect catalog cards and have the record deleted from the data base.

Discard the incorrectly marked document.

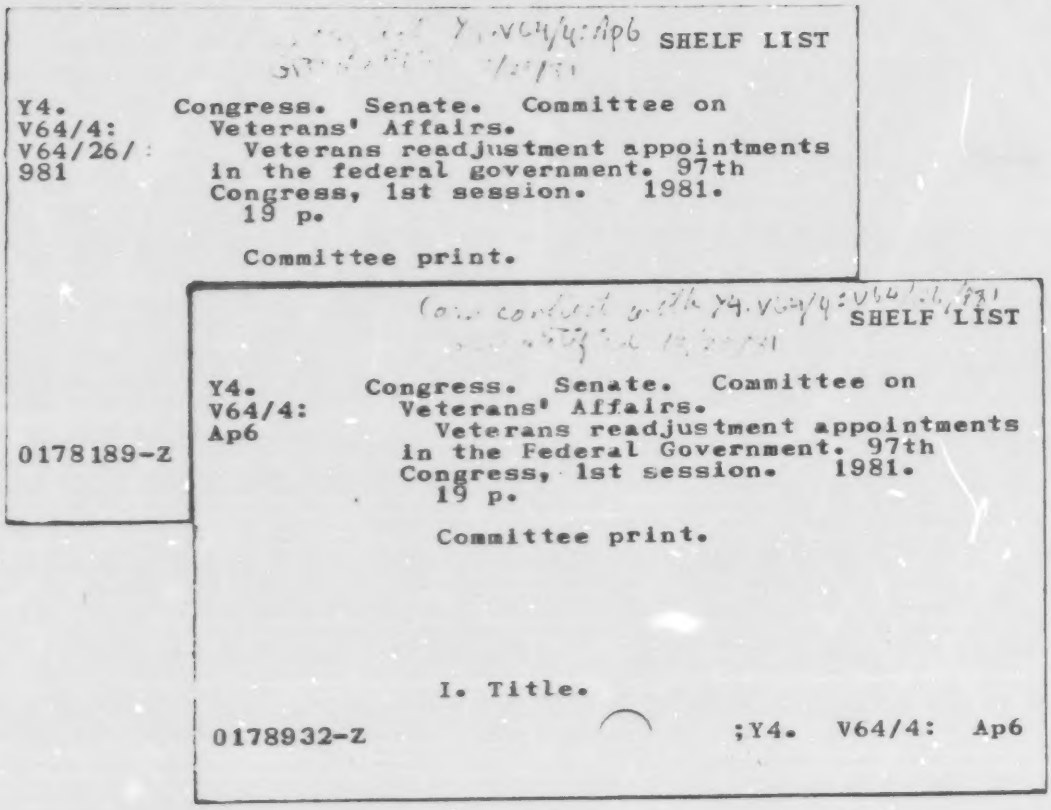
C. If the conflict is legitimate, fill out a Depository Library Request for Information form and send it to the GPO Office in Alexandria, VA. (See example on pg. 82).

D. Return the documents to the stacks so that they will be available to patrons while a decision is pending from GPO.

E. Add a pencil note to the top of the catalog cards so that filers and revisers will be aware of the problem and that action has been taken.

Class conflict with (class. no.).
GPO notified (date)
(see example below)

F. When a decision on the correct class. no. is received from GPO, discard the item with the incorrect class. no., pull and discard the catalog cards, and delete the record from the data base.



SHELF LIST

Y4. Congress. Senate. Committee on
V64/4: Veterans' Affairs.
V64/26/ Veterans readjustment appointments
981 in the federal government. 97th
Congress, 1st session. 1981.
19 p.

Committee print.

SHELF LIST

Y4. Congress. Senate. Committee on
V64/4: Veterans' Affairs.
Ap6 Veterans readjustment appointments
in the Federal Government. 97th
0178189-Z Congress, 1st session. 1981.
19 p.

Committee print.

I. Title.

0178932-Z ;Y4. V64/4: Ap6

III. Confirmation of Classification Numbers.

A. If the accuracy of a classification number on a document is questionable or obviously incorrect, fill out a Depository Library Request for Information form. (see example, pg. 82).

1. Be sure to include verification of the call number either by listing the shipping list number on which the class. no. was cited, or enter a citation from a reference source if a shipping list is not available.

B. Mailing instructions are at the bottom of the Request for Information form.

(7-82)

UNITED STATES GOVERNMENT PRINTING OFFICE

DEPOSITORY LIBRARY REQUEST FOR INFORMATION

Microfiche ☐ Paper ☐

- ☐ Classification Inquiry
- ☐ Item Number Inquiry
- ☐ Monthly Catalog Inquiry
- ☐ Claim Inquiry
- ☐ Publication Inquiry
- ☐ Daily Depository Shipping List Inquiry

Name of Librarian

Area Code/Telephone No

Date Lib. No.

Daily Depository Shipping List No. and Date

Classification and Item Number

Title

Details of Request

For Office Use Only

Reply

INSTRUCTIONS: Mail copies 1 and 2 to: U.S. GPO, Library Division (SLLA)
Inquiries
5236 Eisenhower Avenue
Alexandria, VA 22304

Retain copy 3 for your files. Print or type your address in the area provided below to ensure a prompt response.

U.S. GOVERNMENT PRINTING OFFICE
SUPERINTENDENT OF DOCUMENTS
WASHINGTON, D.C. 20402

OFFICIAL BUSSINESS

Penalty for Private Use
$300

(LIB#_____)

Name _____

Street address _____

City and State Zip Code

87

POSTAGE AND FEES PAID
U.S. GOVERNMENT PRINTING OFFICE
377
FIRST CLASS

LSDS ACTION

SECTION 14

DOCUMENTS EXPEDITING PROJECT (DOCEX) MATERIAL - PROCESSING

I. Filling out DOCEX special request forms.

A. Monographs and Serials (see examples following the instructions below).

1. Agency: Include the agency as represented in the cataloging of the Monthly Catalog or other reference source used. Do not include United States as part of the entry.

a. Use the most logical or easily identifiable entry. If uncertain, use the agency corresponding to the SuDocs class. no. as listed in List of Classes of United States Government Publications.

example: Dept. of Commerce. Bureau of the Census.
use Bureau of the Census.
Geological Survey. Water Resources Division.
use Geological Survey.

2. Title: Enter the title as it appears in GPO cataloging or from the reference source in hand.

a. If requesting added copies and the document is in hand, the title page may be used when recording the title.

3. Date: Date of publication

4. Bibliographical source: Monthly catalog--MC 1980 (80-1186)
ASI index --ASI 1979 (6649-2)
CIS index --CIS 1981 (S741-25)

a. If no bibliographical source is available, enter "no source available."

b. If a serial is being requested and the most current is not available, use the "no source available" note and include the latest previous source.

no source available
source for 1980 ed. is MC 1980 (80-23722)

5. Library: Government Documents, Goodell Library,
University of Massachusetts, Amherst, MA 01003

6. Date of Request: Date the form is filled out.

7. At the bottom of the Special Request form, type the SuDocs class. no. the initials of the person initiating the request, and the reason for the request.
    a. If the document will go to the Serials Dept., type the note, "send to Serials", in the lower left hand corner of the Special Request form.

B. Committee Hearings and Committee Prints. (see example following instructions below).
1, Agency: Type only the Committee holding the hearing or issuing the print.
    a. Include also the number of the Congress and Session.
    b. There is no need to precede the Committee with United States or House or Senate.
2. All other sections of the Special Request form are completed in the same manner as for Monographs and Serials (see A.2-7 above.).

II. Distribution of the Docex request form.
A. Send the first two parts of the form to:

Documents Expediting Project
Gift and Exchange Division
Library of Congress
Washington, DC 20540

B. The third part (pink) of the form is filed in the Docex request file by date of request.

III. The Committee Hearings Cataloger is responsible for processing documents received from Docex.
A. When a reply is received from Docex, the pink form is pulled and discarded.
B. Items from Docex are added to the "Direct Mail" statistics sheet when they are received and after they have been processed.
C. Items from Docex which are duplicates to documents already in the collection are discarded except for those items which would be useful as added copies.
1. If duplicates are added to the collection as added copies, "copy 2" must follow the classificaton number and the number of copies must be annotated at the top of the shelflist card in pencil.

D. Notices for documents which are available for sale only are passed on to the Department Head.

E. Notices for documents which are out of print or unavailable are passed on to the Technical Processing Supervisor.

IV. Every few months the Technical Processing Supervisor reviews the Docex request file.

A. All requests over six months old are checked to see if the requested document is in the stacks.

1. If the document is shelved in the stacks, the request form is discarded.

2. If the Document has not yet been received, a second request is initiated.

a. A note is added to the new request form that it is a second request.

B. If after one year, the document has not been received, it is considered to be out-of-print and appropriate action taken. See the withdrawal of out-of-print documents, pg. 106, Add. D. IX.

Examples of DOCEX Special Request Forms

MONOGRAPH

Library of Congress
Exchange and Gift Division - Documents Expediting Project
SPECIAL REQUEST FOR PUBLICATIONS

Agency: President's Commission on Mental Health.

Title: Report to the President from the President's Commission on Mental Health, 1978. vol. 1

Date: Apr. 1978 Edition:

Bibliographical source: ASI 1978 (16398-1)

Library: Government Documents, Goodell Library,
University of Massachusetts, Amherst, MA 01003

Date requested: 12/30/81

65-15 (rev 5/74) Pr39.8:M52/R29/v.1 la Doc Ex Copy missing.

SERIAL

Library of Congress
Exchange and Gift Division - Documents Expediting Project
SPECIAL REQUEST FOR PUBLICATIONS

Agency: Naval Observatory.

Title: Astronomical almanac.

Date: 1982 Edition:

Bibliographical source: none available for 1982.
Ed. for 1981 is MC 1980 (80-23722)

Library: Government Documents, Goodell Library,
University of Massachusetts, Amherst, MA 01003

Date requested: 12/30/81

65-15 (rev 5/74) D215.8:yr. la Doc Ex Copy
send to Serials 982 not rec'd yet.

COMMITTEE HEARING/PRINT

Library of Congress
Exchange and Gift Division - Documents Expediting Project
SPECIAL REQUEST FOR PUBLICATIONS

Agency: Committee on Science and Technology.
96th Cong. 1st Sess.

Title: Inventory of advanced energy technologies and energy conservation research and development: 1976-1978, v.2, Serial D.

Date: 1979. Edition:

Bibliographical source: MC 1980 (80-17438)

Library: Government Documents, Goodell Library,
University of Massachusetts, Amherst, MA 01003

Date requested: 12/30/81

65-15 (rev 5/74) Y4.Sci2:96/D la Doc Ex Copy 2nd request

SECTION 15

BINDING GOVERNMENT DOCUMENTS

I. Monographs.

A. Bind monographs which are falling apart and cannot reasonably be repaired, or which show signs of heavy use and should be preserved for future use.

1. When in doubt--bind.

B. Monographs may be bound in the following manner.

1. Class A Binding

a. Used on monographs that have stitching in the spine. This is the strongest binding available.

2. Norbind.

a. Used on monographs that have glued spines or very narrow inner margins which would be lost if Class A Binding were used.

1. These books usually have paper covers which, if they are in good shape (i.e. no tears, wrinkles or frayed ends), will be retained in the Norbind binding process.

a. If the paper cover is in poor condition a cloth cover will be used.

b. Items Norbound can be up to 12" in height and up to 4" in thickness.

3. Pam Binding

a. Used for thin documents which may be stapled.

b. Items Pambound can be up to 13" in height and up to 1" in thickness.

4. Storage bind.

a. Used for hard cover documents which have narrow inner margins or which are of ephemeral value.

1. The spine is glued rather than sewn and therefore not as sturdy as Class A bind.

5. Recase.

a. In some cases the binding is still in good shape, but the cover has been ripped off or is in a dilapidated

condition. By recommending a "Recase", only a new cover will be attached and the original binding will remain intact.

C. Binding Forms.

(Examples of binding forms A-B, pg. 89-90).

1. Form A is used for Class A Bind material when there is no concern for the color of the cover or lettering. The cover will always be red and the lettering will always be white.
2. Form A is always used for Pam Binding.
3. Form A is always used for Norbinds.
4. Form B is used when a special cover or letter color is desired for a monograph, or if the monograph has been broken into separate sections which would require a Class A Per (Periodical) binding.
   a. Note how the following sections of the form are filled out:
      1. Customer--Type of binding desired (i.e. Class A, Pam, etc.)
      2. Binding number--will always be CA900 (Form B only)
      3. Special instructions--includes SuDocs class no. and any other special instructons to the Binder such as Rush, or lacks pages, etc.
      4. "Send directly to Documents Dept." note should always appear at the very top of the bindery form.

FORM A

Example 1.

NORTHEAST LIBRARY BINDING CO., INC.
101 MYSTIC AVENUE • MEDFORD, MA 02155
BEAR DOWN YOU ARE WRITING THRU 5 COPIES
E-1030

Send directly to Documents Dept.

C3.2:
C33/34 NORBIND

Census '80:
Continuing the factfinder
tradition

NORTHEAST LIBRARY BINDING CO., INC.
BINDERY COPY 1

Example 2.

NORTHEAST LIBRARY BINDING CO., INC.
101 MYSTIC AVENUE • MEDFORD, MA 02155
BEAR DOWN YOU ARE WRITING THRU 5 COPIES
E-1030

Send directly to Documents Dept.

DOC REF
C3.6/2:
St2/4 Class A Bind

Directory of non-federal
statistics for states and
local areas

RUSH RUSH RUSH

NORTHEAST LIBRARY BINDING CO., INC.
BINDERY COPY 1

FORM B

PLEASE PULL OUT THE YELLOW "CUSTOMER" COPY AND RETAIN FOR YOUR RECORDS SEND THE THREE REMAINING COPIES AND CARBONS INTACT WITH THE VOLUME. L-1031

Type of binding---CUSTOMER: Class A Bind | BINDERY NO. CA900 ---Bindery number

Send directly to Documents Dept. ---Destination note

CHECK ONE

NEW TITLE	PREVIOUSLY BOUND	NORTHEAST HAS PATTERN	SEE RUB SENT	SEE SAMPLE SENT
☐	☐	☐	☐	☐

TITLE: Effective revenue writing - 2

COVER COLOR: 2075 ----Cover color code

LETTERING COLOR: GOLD ☒ ---Lettering code; WHITE ☐; BLACK ☐

O.K. TO BIND WITH MISSING ISSUE(S): ☐ YES ☐ NO

VOLUME

YEAR

IMPRINT

COMPLETE THE FOLLOWING IF NEW TITLE

FRONT COVERS: ☐ IN ☐ OUT

BACK COVERS: ☐ IN ☐ OUT

ADS: ☐ IN ☐ OUT

TITLE PAGES, CONTENTS AND INDEXES WILL BE PLACED IN STANDARD LOCATION, UNLESS OTHERWISE SPECIFIED.

SPECIAL INSTRUCTIONS

T22.19/2:
W93/no.2/
962

ALL INSTRUCTIONS ON THIS BINDING SLIP WILL BE FOLLOWED EXPLICITLY

IF AN ITEM IS RETURNED FOR CORRECTION BECAUSE OF BINDER'S ERROR A COPY OF THE ORIGINAL BINDING SLIP **MUST BE** RETURNED WITH THE VOLUME.

NORTHEAST LIBRARY BINDING CO., INC., 101 MYSTIC AVE., MEDFORD, MA 02155

BINDERY COPY 1

CUSTOMER COPY

II. Serial Binding.

A. A title will arrive for binding in the Documents Office either by referral from Kardex (see Sec.7.II.A.3, Processing Cataloged Serials, pg. 57), or from a staff member working in the stacks.

B. The bindery person first collates the volume to make sure all pieces are present and in proper order.

C. If an issue is missing, the bindery person sends the incomplete volume to the Serials Cataloger (see Sec.14.I, Processing Docex Material, pg. 83-86).

1. If the Serial Cataloger requests missing issues from Docex and places the incomplete volume on the Incomplete Vol. Shelf, he/she must notify the Kardex of its location so the kardex can be updated to reflect the location of the incomplete volume.

D. If the volume is complete, the bindery person checks the Bindery File to determine if a bindery record is present for the serial volume in hand.

E. If a record is present (see sample record, pg. 93), the bindery person fills out Binding Form B using the information provided on the bindery record (see example, pg. 93).

1. Volumes are then sent to the Library Bindery Section for shipment to the commercial binder.

a. Regular binding turn around time is 4 weeks.

b. Rush binding turn around time is 2 weeks.

F. If there is no bindery record present in the Bindery File, the bindery person must create a new record for that item.

1. Check the Documents stacks for previously bound volumes.

2. If earlier volumes are present, use spine format and cover color of the previously bound volumes in creating the new bindery record.

3. If no other bound volumes are present, the bindery person is at liberty to create the new bindery record in whatever manner seems most efficient or practical.

a. The binder has provided a set of cover color swatches with color codes.

b. The new record is typed in the same manner as the sample record on pg. 93 and filed in the Bindery File for future reference.

G. When bound volumes return from the bindery, a student assistant types the call no. on a label using the class no. at the bottom of the bindery slip, (see example, pg. 93) and attaches it to the bottom of the spine on the bound volume, being careful not to cover any print.

1. Stamp UMass identification stamp on the top and foredge of the volume.
2. If the volume is incomplete, the missing issues are notated at the top of the first page. Missing issues are identified at the bottom of the bindery slip.
3. Send bindery slips from books to Kardex for discharging.

H. If the Kardex Checker receives a bindery slip (yellow) for an incomplete vol. which is already noted on the Kardex as being on the incomplete shelf, the Checker must erase the information concerning the incomplete shelf before attaching the bindery slip to the kardex.

I. When the Kardex Checker receives the bindery slips (white), he/she must match them with the yellow slips already attached to the Kardexes.

1. Add bound holdings, including lacks of incomplete volumes, to the top of the kardex.
2. Check circulation file to match monographic bindery slips.
3. Discard all matched bindery slips./

J. The Technical Processing Supervisor is responsible for keeping all statistics concerning binding in the Documents Department. This is usually done when the documents copy of the bindery slip is returned from the Library Bindery Section.

Example: Binding Form B

PLEASE PULL OUT THE YELLOW "CUSTOMER" COPY AND RETAIN FOR YOUR RECORDS SEND THE THREE REMAINING COPIES AND CARBONS INTACT WITH THE VOLUME. E-1031

CUSTOMER: Class A Per

BINDERY NO.: CA90p

Send directly to Documents Dept.

NEW TITLE	PREVIOUSLY BOUND	CHECK ONE: NORTHEAST HAS PATTERN	SEE RUB SENT	SEE SAMPLE SENT
☐	☐	☐	☐	☐

TITLE: Construction reports: value of new construction put in place

COVER COLOR: 2075

LETTERING COLOR: GOLD ☒ WHITE ☐ BLACK ☐

VOLUME:

O.K. TO BIND WITH MISSING ISSUE(S): ☐ YES NO ☐

YEAR: 1980-1981

COMPLETE THE FOLLOWING IF NEW TITLE

FRONT COVERS ☐ IN OUT ☐

BACK COVERS ☐ IN OUT ☐

ADS ☐ IN OUT ☐

IMPRINT:

TITLE PAGES, CONTENTS AND INDEXES WILL BE PLACED IN STANDARD LOCATION, UNLESS OTHERWISE SPECIFIED.

SPECIAL INSTRUCTIONS

C3.
215/3:
C30-
980-981

ALL INSTRUCTIONS ON THIS BINDING SLIP WILL BE FOLLOW

IF AN ITEM IS RETURNED FOR CORRECTION BECAUSE OF BINDER'S
THE ORIGINAL BINDING SLIP MUST BE RETURNED WITH THE VOLU

NORTHEAST LIBRARY BINDING CO., INC., 101 MYSTIC AVE., MED

BINDERY COPY 1

CUSTOMER COPY

Example: Bindery Record

C3.
215/3:
C30-yr. Construction reports: value of new construction put in place

Type of bind: Class A Per

Cover Color : 2075

Letter Color: Gold

Spine Inform: Title, year

Frequency : bind every two years.

la 01/05/82

ADDENDA A

PROCEDURES FOR ISSUING OVERDUE NOTICES AND BILLS

I. Procedure for issuing overdue notices:

A. Every Thursday consult the overlay schedule for Docuemnts' circulation slips to determine which color overlay identifies documents which are one week overdue. Documents are always due on Wednesdays and we give a one-week grace period past the due date before issuing an overdue notice.

B. Pull the circulation slips for the overdue documents.

C. Fill out an overdue notice for each patron who has documents which are one week overdue. Where possible, staple the second part of the 3-part charge slip to the overdue notice rather than copying the information onto the overdue notice. Check the 3rd part (the file copy) of the charge slip to be sure that all important information is legible; any information which is not legible on the file copy should be copied from the second part of the 3-part charge slip. Also check the date due box of the file copy of the charge; if necessary stamp it with the proper due date.

D. Stamp the overdue notices and the reverse side of the file copies of the charge slips with today's date.

E. Place a yellow clip on the file copy of each charge slip to indicate that an overdue notice has been sent, replace the original colored overlay, and refile these slips in the circulation file.

F. Place the overdue notices in the appropriate envelopes, using window envelopes whenever possible. Overdue notices to 5-College students may be sent via campus mail if the envelopes are marked "5-College Delivery."

G. The Library does not use due dates which fall during Intersession (January). When the overlay schedule indicates due dates during this period, the date stamp should be set for the first Wednesday after Intersession.

II. Procedure for issuing bills:

A. Every Friday, check the overlay schedule for Documents' circulation slips to determine which color overlay indicates documents which are two weeks overdue.

B. Pull the circulation slips for these overdue documents; they should all be marked with a yellow clip indicating that an overdue notice has been sent.

C. Remove overlays and yellow clips, then check the stacks to be certain the documents have not been returned.

D. Create a delinquent file card for each person being billed. The card should list the person's name, ID number from the charge slip, any special status (faculty, staff, 5-College, Mass. resident, etc.), and the SuDoc numbers of all unreturned documents.

E. Divide delinquent file cards into 3 categories:

1. UMass graduate and undergraduate students
2. 5-College students and faculty
3. All others: UMass faculty and staff, Massachusetts resident borrowers, continuing education students, etc.

F. Take delinquent file cards to computer terminal in Circulation Office.

1. Check category 1 borrowers in computer files to ascertain borrower's status. We need to know if student is ACTIVE or not.
   a. Record each ACTIVE UMass student's 9-digit student identifying number (usually the same as the social security number) on his/her delinquent file card.
   b. If the student has withdrawn or graduated and is not ACTIVE follow procedure for billing category 3 borrowers.
2. If necessary, check computer files or print-out in Circulation Office for the complete ID number of any 5-College student or faculty member.
3. The names and ID numbers of all borrowers in category 3 should be placed in the computer's delinquent file, and the Documents delinquent file card marked accordingly.

G. Type bills:

1. Category 1 - For ACTIVE UMass graduate and undergraduate students, use student identifying number for ID number - see sample bill.
2. Category 2 - Use 5-College bill form - see sample bill.
3. Category 3 - Use UMass bill form.

H. Stamp circulation slips with "billed" stamp on front and date billed on back. Cover with clear overlay and refile.

I. Processing bills:

1. Category 1 - Send top copy of bill to borrower, save pink copy to send to Bursar's Office, Whitmore Administration Building. Mark each pink copy with the subcode "20740". Staple remaining copies together, alphabetize by borrower's name, mark with Billing and Receivable System (BRS) batch number, and file.
   Process bills for BRS according to instructions in BRS manual.
   Mark BRS batch number on each borrower's delinquent file card.
2. Category 2 - Mail top copy of bill to borrower via 5-College Delivery. Forward other copies of bill to 5-College Billing Clerk, Circulation Office.
3. Category 3 - Send top copy of bill to borrower; file other copies in the Non-BRS file.

J. File all delinquent file cards.

III. <u>Procedure for cancelling bills</u>:

A. When a document for which a bill has been issued is returned:

1. Pull delinquent file card of borrower.
2. Pull circulation slip:
   a. If bill is on BRS:
      i. Go to original batch in BRS file and remove top (yellow) copy of bill.
      ii. Follow instructions in BRS manual for bill cancellation.

iii. Mark yellow bill copy with the cancellation batch number and file in the BRS file.

b. If bill was issued to 5-College student or faculty member, notify the 5-College Billing Clerk in the Circulation Office.

c. If bill was issued to UMass faculty or staff member, Cont-Ed student, Mass. Resident borrower, etc., pull and discard file copy of bill and remove borrower's name and ID number from computer's delinquent file.

Student Jane 123-45-6789 12-12-83
LAST NAME FIRST M.I. CLASS I.D. NUMBER INVOICE DATE

UNIVERSITY OF MASSACHUSETTS
University Library
Amherst, Massachusetts 01003

Address questions to Documents
Library/dept.

Make Check or money order payable to:
UNIVERSITY OF MASSACHUSETTS
Please return invoice and Remittance to
Treasurer's office - Bursar

3197-2

- Jane Student
  Dorm
  Campus
-

20740

DESCRIPTION	AMOUNT	
Fines on _____ books returned late		
Replacement Charge for the following unreturned books:		
HE20.3202:V87/2	5	00
Processing Fee 1-20577-08080	5	00
This amount due by _____	10	00

SAMPLE BILL FOR UMASS GRADUATE AND UNDERGRADUATE STUDENTS

Prefix:
4-AC
5-HC
6-MHC
7-SC

FIVE-COLLEGE LIBRARIES
Open Access
BILL TRANSMITTAL

NO. Student's home college

DATE 12-30-81

This charge originated by,

- ☐ Amherst
- ☐ Hampshire
- ☐ Mt. Holyoke
- ☐ Smith - Main
- ☐ Smith - Sci
- ☒ Univ - Main
- ☐ Univ - Morr
- ☐ Univ - Phys

Prefix-123456789 (social security #)

Student's name
Student's address

If materials are not returned or this charge is not paid within thirty days, a copy of this bill will be forwarded to your home institution for collection. All fines and penalty fees are non-refundable; book and processing charges are cancelled upon return of the overdue material.

SuDoc # and title of document

Replacement fee

REMIT TO Documents/Goodell Library

Make check payable to UMASS/AMHERST
Account # 1-20577-08080

Penalty fee
Processing fee 15.00
TOTAL

SAMPLE 5-COLLEGE BILL

ADDENDA B

PROCEDURES FOR GOVERNMENT DOCUMENTS RESERVE SHELF

I. The Government Documents Reserve Shelf is located in the Documents Reference Office.

II. Government Documents are placed temporarily on the Reserve Shelf under the following conditions.

A. A class is doing a project on which there is a limited number of materials which, if taken out of circulation for the duration of the project, would give every student equal opportunity to use the material.

B. A document is received which is related to an important current event.

III. Government documents are placed permanently on the Documents Reserve Shelf under the following conditions.

A. The item is not a Reference item but is used very heavily, causing inconvenience to potential users when it is charged out.

B. The document is a replacement copy for one reported missing on a popular topic.

C. An item is heavily used and would be almost impossible to replace.

IV. Temporary Reserve--Patron and Technical Processing Procedures.

A. Patron Procedures.

1. Students must leave their name, ID no., telephone no., and time of sign out before the document can leave the Office.
2. Students can use the book for daily periods as long as they renew the document at two hour intervals.
   a. There will be no overnight charges, except in extreme emergency circumstances.

B. Technical Processing Procedures.

1. Make out an orange sign out card for each document. (see example, pg.103).
2. Type a label--NON-CIRC
   DOCS
   RESERVE and attach it to the upper left hand corner of the front cover of the document.

3. Create a dummy book and place it in the space where the temporary reserve book would be shelved.
   a. The label on the spine of the dummy book should include:
      1) SuDoc. no.
         Title of document
         Location of document: (see example, pg. 103).
         "Documents Office: Documents Reserve Shelf."
4. Return documents on temporary reserve shelf to the general stacks as soon as the class assignment is completed or at the end of the semester, or when the document has not been circulated for a period of at least 6 months.
5. Make out a circulation charge slip for all documents on temporary reserve.
   a. attach top slip to the document
   b. file the rest of the form in the circulation file.
   c. discharge the document when it goes back to the documents stacks.

V. Permanent Reserve--Patron and Technical Processing Procedures.

A. Patron Procedures.
   1. Students must leave their name, ID no., telephone no., and time of sign out before the document can leave the Office.
   2. One (1) to Three (3) day loans are used for items in Permanent Reserve.
      a. Duration of the loan will be determined on an item by item basis in consultation with Documents Staff.

B. Technical Processing Procedures.
   1. Make out an orange sign out card for each document. (see example, pg. 103).
   2. Create a dummy book and place it in the space where the document would be shelved.
      a. Label the spine of the dummy book as follows:
         1) SuDoc. number.
         2) Title of document.
         3) Location of document
            "Documents Office--Documents Reserve Shelf."

3. Update the catalog record to include the location note: "Located on Documents Reserve Shelf in Documents Office."
4. Attach a label which reads, "Gov. Docs.--Perm Res.", to the upper left hand corner of the front cover of the document.

VI. During June of each year, the Documents Reserve Collection should be revised to determine which items should be removed to the general documents collection and which should remain on the Documents Reserve Shelf. This should be done in consultation with the Documents Staff.

A. If a document has not circulated for 2 years, it should be placed in the general documents collection.
   1. If a document is of important local interest, or replacement would probably be impossible, it may remain on Permanent Reserve even though it may not have circulated.

B. If multiple copies are available for Documents Reserve item, one copy should remain on reserve as insurance and all other copies may be sent to the general documents stacks.

C. When a document is removed from the Documents Permanent Reserve, remove the Reserve location note from the catalog record.

D. Cover the "Government Documents-Permanent Reserve" label on the front cover of the document. This step also applies to the Reserve label on temporary reserve documents.

E. Remove dummy books from the shelf when the documents are reshelved.
   1. Return the dummy books to the Documents Office for recycling.

SIGN OUT CARD

SuDocs. class number------- Y4. Ec7:B96/2/929-80

Title-------- The business cycle and public policy, 1929-80.

Patron identifiers--	Name	I.D.no.	Phone	time

ADDENDA C

INTERLIBRARY LOAN REQUESTS

I. Requests for interlibrary loan material are always initiated with the Interlibrary Loan Department.

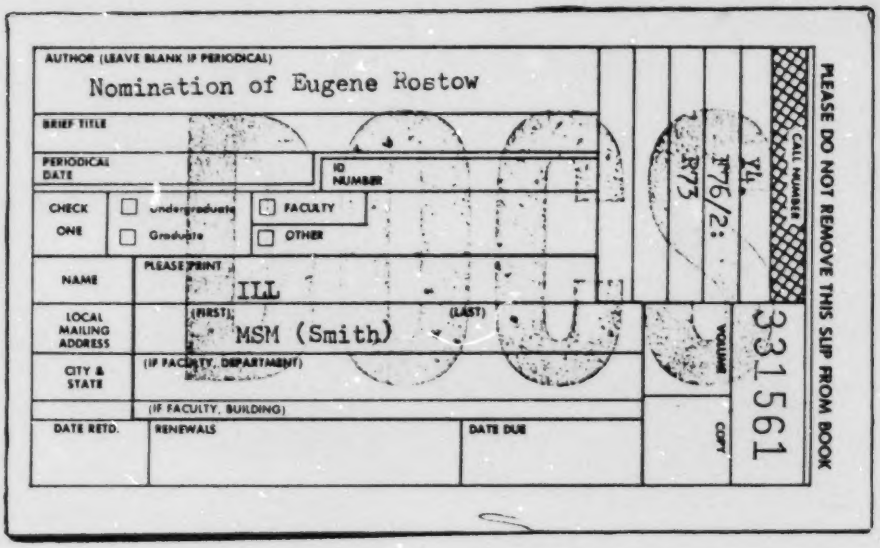
II. If the document sought is not available, Interlibrary Loan (ILL) should be notified as soon as possible after the search is completed.

III. If the document is available, fill out the circulation form just as for any circulating documents. (see example below)

A. In the name block of the circulation slip write in ILL.

B. In the local mailing address block write the name of the institution and person borrowing the material.

C. Attach the borrower's copy of the circulation slip, along with the ILL form, to the requested publication.



IV. Deliver documents and forms to ILL as soon as possible.

A. File the rest of the circulation form in the circulation file.

ADDENDA D

SEARCH PROCEDURES

I. A search shall be initiated by a Documents staff member whenever an item, which is sought by a staff member or patron, cannot be found.

A. The initial search, as well as subsequent searches, shall include:

1. Documents stacks
2. Circulation file
3. Shelving area
4. Documents Reference Room tables
5. Study desks in Documents stack area
6. Documents staff members
7. Shelflist

II. A search slip shall be filled out to insure that follow-up searches shall be carried out. (see example, pg. 107).

III. The shelf list card shall be notated in pencil: "being searched" (date).

IV. The 2nd and 3rd searches shall be done on the first working day of every month.

A. If the item is a "Rush", searches shall be done on the first working day of every week.

V. If the item is not found after the third search, it shall be declared missing.

VI. Consult the Department Head as to whether the item should be withdrawn from the collection or reordered.

VII. If the decision is made to withdraw the item from the collection, all catalog cards must be pulled from the shelflist and public catalogs.

A. The shelflist card shall be filed in a missing/withdrawn file by SuDocs number with a notation at the top of the card: (msg/wdn) (date).

VIII. If the decision is made to reorder the item, then the usual reorder procedures should be followed.

A. The item should be sought through DocEx first. (see Processing DocEx material, Sec.14, pg. 83-86).

B. The shelflist card should be updated to read: (msg/reordered) (date)

IX. If the item cannot be replaced, the catalog record must be withdrawn.

A. The catalog cards must be pulled from the shelflist and public catalogs and the shelflist card is placed in the missing/withdrawn file with the notation added at the top: (msg/wdn/o.p.) (date).

1. "o.p." signifies "item out of print and/or unavailable."

X. If the missing item is a serial, the missing item is notated on the kardex and not on the shelflist. If the item is eventually withdrawn, the withdrawal notation is put on the kardex only.

Example:
Documents Search
Slip

DOCUMENTS
SEARCH SLIP

Searched for:_____
_____

CLASS. NO.

_____

AGENCY/TITLE:

_____

SHELFLIST NOTED: _____
KARDEX NOTED: _____

_____

SEARCH NO. 1 _____
(date)

_____ GOODELL

_____ TOWER

_____ CIRCULATION

_____ STAFF

_____

SEARCH NO. 2 _____
(date)

_____ GOODELL

_____ TOWER

_____ CIRCULATION

_____ STAFF

_____

SEARCH NO. 3 _____
(date)

_____ GOODELL

_____ TOWER

_____ CIRCULATION

_____ STAFF

_____

REORDER _____(date)
WITHDRAW _____(date)